466-A-3

ED 1.310/2:266 725

FEB 2 8 1987

ORIGINAL

COMPLETED
120

ED266725

NTID MANUAL OF PLANNING BUDGETING & MONITORING PROCEDURES

HE 01 9 095

"PERMISSION TO REPRODUCE THIS MATERIAL HAS BEEN GRANTED BY

Bernadette L. Skobjak
Rochester Institute of Technology

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)."

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☑ This document has been reproduced as received from the person or organization originating it.

☐ Minor changes have been made to improve reproduction quality.

• Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

BEST COPY AVAILABLE

DOCUMENT RESUME

ED 266 725 HE 019 095

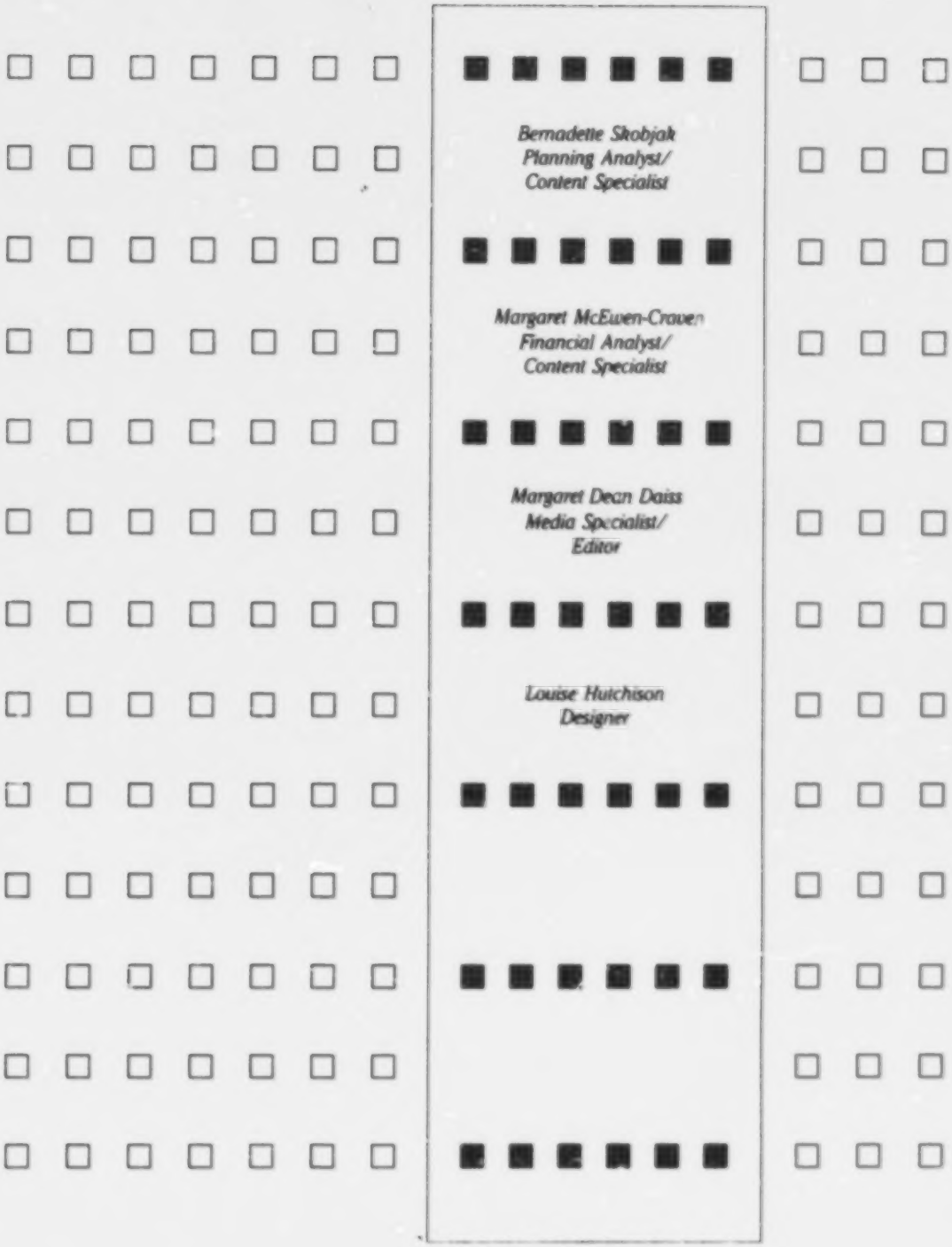
AUTHOR	Skobjak, Bernadette; And Others
TITLE	NTID Manual of Planning, Budgeting, and Monitoring Procedures.
INSTITUTION	National Technical Information Service (DOC), Springfield, Va.
SPONS AGENCY	Department of Education, Washington, DC.
PUB DATE	85
NOTE	119p.
PUB TYPE	Guides - Non-Classroom Use (055)
EDRS PRICE	MF01/PC05 Plus Postage.
DESCRIPTORS	*Accountability; *Budgeting; Check Lists; *College Administration; *College Planning; Departments; Educational Needs; Flow Charts; Government School Relationship; Guidelines; Higher Education; Interschool Communication; Objectives; Profiles; *Program Evaluation; Program Proposals; Records (Forms); *Reports
IDENTIFIERS	Mission Statements; *National Technical Institute for the Deaf; Strategic Planning

ABSTRACT

A revised user manual for the Planning, Budgeting, and Monitoring (PBM) process of the National Technical Institute for the Deaf (NTID) is presented. The logical development of NTID's tactical, one-year planning process is outlined, along with activities (e.g., interdivisional planning) and products (e.g., mission profile). For each chapter, information is provided on: start and completion dates, purpose of the activity, the process of how each product or activity fits into PBM; author/supervisor who is responsible for completing the activity/product; and the details of each step (e.g., writing a report). The chapters cover: the planning calendar, NTID responsibilities and goals, planning principles, strategic planning, NTID annual guidance paper, activity plans (e.g., involving faculty and staff in department planning); new project proposals, interdivisional planning, the mission profile, the mission statement, the Budget System Planning Form and NTID Budget Report, Equipment Request Form, monitoring mission profiles and budgets, program and financial reporting (Quarterly Visibility Reports, Academic Year Report, and Annual Report). Included are department budget numbers, expense object codes and titles, and flow charts on the PBM and on how the federal government and NTID's budget processes work together. (SW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

BEST COPY AVAILABLE



BEST COPY AVAILABLE

Special Thanks to:

Marie Buckley, Marcia Dugan, Ken Merchant, Sarah Perkins, Michael Servé, Kathleen Sullivan, and Wendell Thompson.

Also, thanks to faculty and staff members who reviewed the manual:

Jean Bondi-Wolcott, Joseph Dengler, Judy Egelston-Dodd, Alan Hurwitz, Sheila Reasoner, and David Swanson.

Rochester Institute of Technology

National Technical Institute for the Deaf
One Lomb Memorial Drive
Post Office Box 9887
Rochester, New York 14623-0887

This material was produced through an agreement between Rochester Institute of Technology and the U.S. Department of Education.

BEST COPY AVAILABLE

NTID Manual of Planning, Budgeting and Monitoring Procedures

TABLE OF CONTENTS

1. Introduction and Terms 1-1

Purpose and Use of the Manual 1-1
About the Planning, Budgeting, and Monitoring Process 1-3

- "The NTID Planning, Budgeting, and Monitoring Flow Chart"
- "How the Federal Government's and NTID's Budget Processes Work Together"

Glossary 1-5

2. Planning and Budgeting Calendar ..... 2-1 - 10

3. NTID Goals and Responsibilities ..... 3-1 - 18

4. Planning Principles ..... 4-1 - 19

5. Strategic Planning ..... 5-1 - 20

6. Guidance Paper ..... 6-1 - 22

7. Activity Plan ..... 7-1 - 24

8. New Project Proposal ..... 8-1 - 30

9. Interdivisional Planning ..... 9-1 - 37

10. Mission Profile ..... 10-1 - 42

11. Mission Statement ..... 11-1 - 58

12. Budget System Planning Form (BPF) and NTID Budget Report ..... 12-1 - 63

13. Equipment Request Form ..... 13-1 - 72

14. Monitoring Mission Profiles and Budgets ..... 14-1 - 78

(Continued)

BEST COPY AVAILABLE

15. Program and Financial Reporting: *Quarterly Visibility Reports, Academic Year Report,* and *Annual Report* for the Fiscal Year 15-1-82

16. Appendix A - Department Budget Numbers 16-1-88

Appendix B - Expense Object Codes and Titles 16-5-91

BEST COPY AVAILABLE

Chapter 1 **Introduction and Terms**

PURPOSE AND USE OF THE MANUAL

The revised *Manual of Planning, Budgeting, and Monitoring Procedures* is written and designed for the users' convenience. The order of the chapters is consistent with the chronology of the annual Planning and Budgeting Calendar issued each January, which can be found in the beginning of this Manual. The calendar can be used as a checklist for completing the steps in the Planning, Budgeting, and Monitoring (PBM) process. Exact dates on the yearly Planning and Budgeting Calendar may be different by a week or two from the suggested start and completion dates in the chapters. That is because the chapters are generic while the calendar is specific to a particular fiscal year. The flow charts of major events in planning, budgeting, and monitoring, the step-by-step instructions in each chapter, and the forms and examples are additional aids for users. The ease with which chapters can be used separately or together suits the needs of both seasoned and new NTID employees such as:

- veteran administrators who need to review some facets of the planning, budgeting, and monitoring system;
- administrators who are new to NTID or to management;
- faculty and staff members who want to become familiar with NTID's planning, budgeting, and monitoring system.

The *Manual* begins with chapters that explain why NTID plans as it does, i.e., a bottom-up planning process that is influenced by Federal legislation, the budgeting process, and consequently by NTID's Goals and Basic Responsibilities, planning principles, and by an annual *Guidance Paper* written by the director, dean and associate vice president.

Thereafter, chapters outline the logical development of NTID's tactical, one-year planning process, and the resulting products and activities.

BEST COPY AVAILABLE

Those chapters that discuss products (e.g., Mission Profile, Budget System Planning Form, etc.) and activities (e.g., Interdivisional Planning, Monitoring of Mission Profiles and Budgets, etc.) are designed identically for easy reference:

Start and Completion Dates give the user an idea of how much time is needed to complete a particular product or planning step;

Description and **Purpose** quickly introduce the reader to what the product or activity is and why it is to be completed;

Process explains where and how each product or activity fits into the overall planning, budgeting, and monitoring process;

Author/Supervisor explains who is responsible for completing the activity or product;

Preparation guides the user through the details of each step (for example, writing a report or adjusting a budget); and

Reminders are just that, some additional points that will help the reader carry out the paperwork and meetings essential to the efficient operation of NTID.

BEST COPY AVAILABLE

ABOUT THE PLANNING, BUDGETING, AND MONITORING (PBM) PROCESS

The NTID PBM process has been developed around three themes.

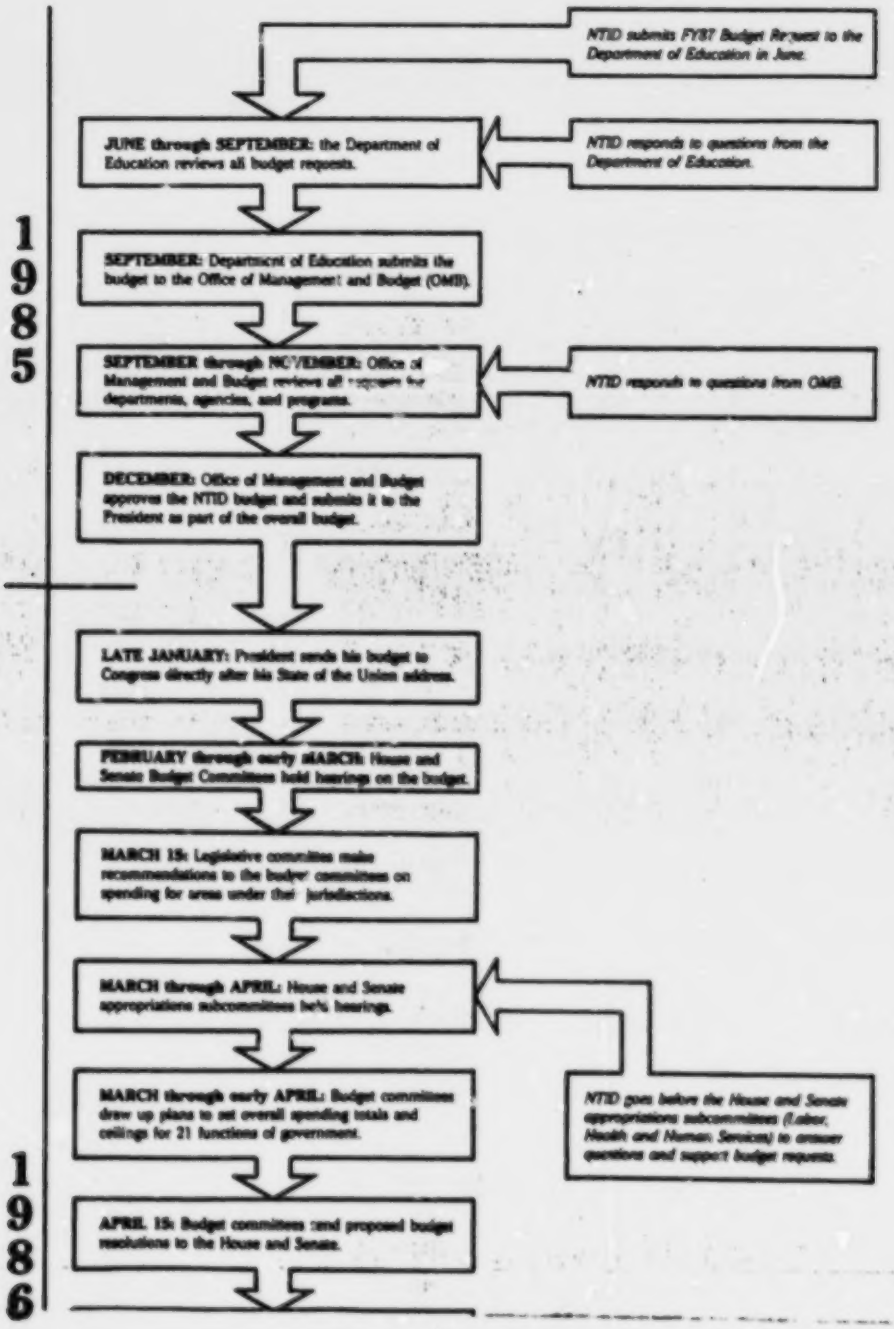
- First, the PBM process is participatory and cooperative; it encourages individual and group participation in the department's, division's, and school's planning. These key prerequisites for successful planning allow people to individually and collectively aid in developing the plan of NTID and also feel ownership of it. Cooperation and participation across divisions are essential to NTID's success.
- Second, the PBM process is concrete; it results in plans and budgets that emphasize specific measurable outcomes that are called objectives and strategies, which are stated in specific terms. They are never inflexible; the best plans are always flexible and the best planners are alert to those times when objectives should be changed.
- Third, the PBM process is a cyclical operation consisting of developing, monitoring, updating, and refining plans and budgets with deliberate use of essential data as the basis.

The following flow charts, "The NTID Planning, Budgeting, and Monitoring Flow Chart" and "How the Federal Government's and NTID's Budget Processes Work Together," show how part of this process unfolds within a two-year time frame.

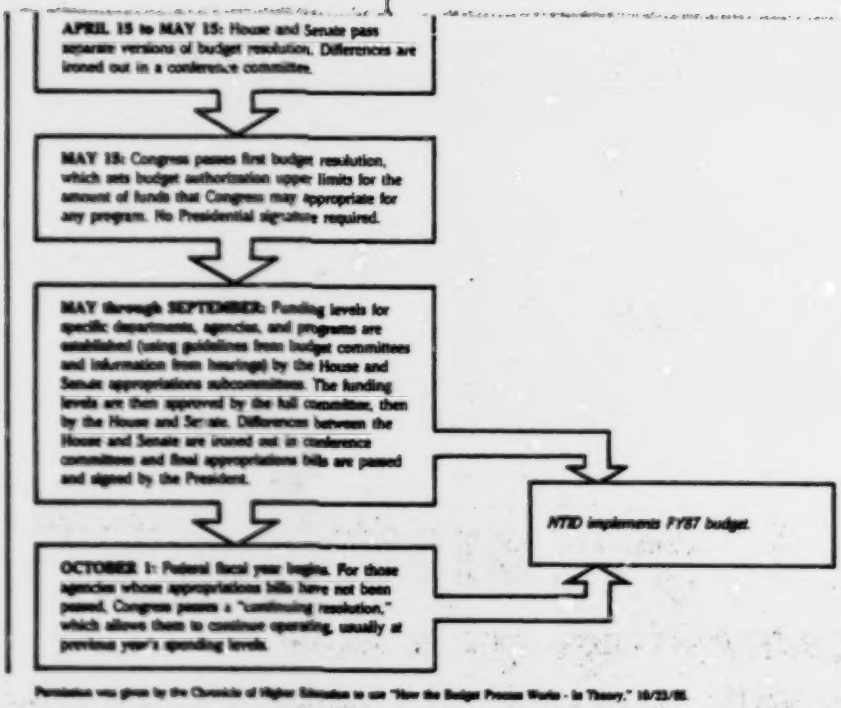
BEST COPY AVAILABLE

HOW THE FEDERAL GOVERNMENT'S AND NTID'S BUDGET PROCESSES WORK TOGETHER

NTID's planning and budgeting process is tied directly to that of the Federal government; it is complex. At all times, NTID is working on a three-year budgeting cycle: implementing the current year's budget, taking the coming year's budget through the steps outlined below, and establishing enrollment targets and funding requirements for the out year (two years hence). This flow chart shows the process of planning and budgeting within the Federal government and between NTID and Congress.


NTID submits FY87 Budget Request to the Department of Education in June.
JUNE through SEPTEMBER: the Department of Education reviews all budget requests.
NTID responds to questions from the Department of Education.
1985
SEPTEMBER: Department of Education submits the budget to the Office of Management and Budget (OMB).
SEPTEMBER through NOVEMBER: Office of Management and Budget reviews all requests for departments, agencies, and programs.
NTID responds to questions from OMB.
DECEMBER: Office of Management and Budget approves the NTID budget and submits it to the President as part of the overall budget.
LATE JANUARY: President sends his budget to Congress directly after his State of the Union address.
FEBRUARY through early MARCH: House and Senate Budget Committees hold hearings on the budget.
MARCH 15: Legislative committees make recommendations to the budget committees on spending for areas under their jurisdictions.
MARCH through APRIL: House and Senate appropriations subcommittees hold hearings.
NTID goes before the House and Senate appropriations subcommittees (Labor, Health and Human Services) to answer questions and support budget requests.
MARCH through early APRIL: Budget committees draw up plans to set overall spending totals and ceilings for 21 functions of government.
1986
APRIL 15: Budget committees send proposed budget resolutions to the House and Senate.

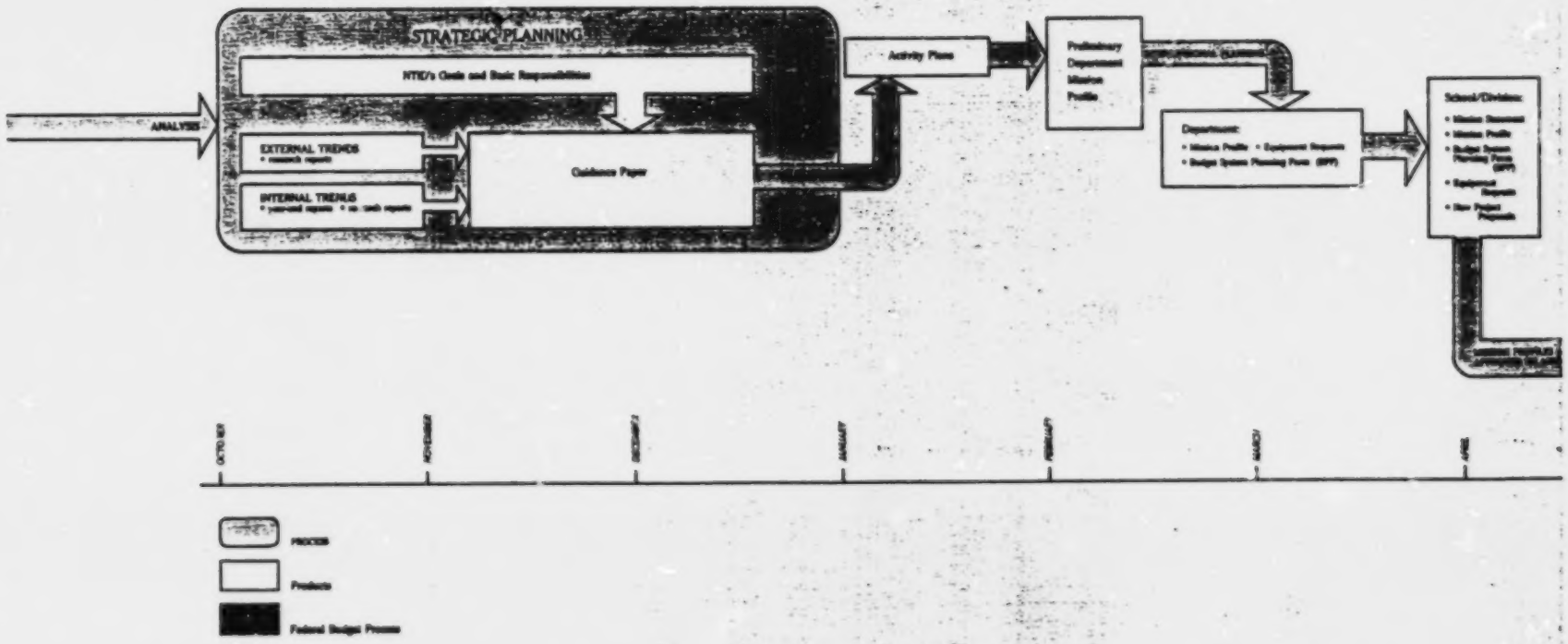
BEST COPY AVAILABLE


APRIL 15 to MAY 15: House and Senate pass separate versions of budget resolution. Differences are ironed out in a conference committee.
MAY 15: Congress passes first budget resolution, which sets budget authorization upper limits for the amount of funds that Congress may appropriate for any program. No Presidential signature required.
MAY through SEPTEMBER: Funding levels for specific departments, agencies, and programs are established (using guidelines from budget committees and information from hearings) by the House and Senate appropriations subcommittees. The funding levels are then approved by the full committee, then by the House and Senate. Differences between the House and Senate are ironed out in conference committees and final appropriations bills are passed and signed by the President.
NTID implements FY87 budget.
OCTOBER 1: Federal fiscal year begins. For those agencies whose appropriations bills have not been passed, Congress passes a "continuing resolution," which allows them to continue operating, usually at previous year's spending levels.

Permission was given by the Chronicle of Higher Education to use "How the Budget Process Works - In Theory," 10/23/85.

BEST COPY AVAILABLE

NTID PLANNING, BUDGETING & MONITORING FLOW CHART



BEST COPY AVAILABLE

GLOSSARY

The *Glossary* consists of the terms used in the Manual that are specific to NTID.

Activity Plan	An *Activity Plan* is a planning tool that is used by individuals when developing their objectives and activities for the coming fiscal year. These activities can be included in the statement of expectations on the personnel appraisal form.
Administrator	This term includes assistant and associate deans, directors, chairpersons, and managers.
Budget Officer	A *Budget Officer* is the person in each department who has been designated by the assistant or associate dean or director to be responsible for all department budget activities.
Budget Planning Form (BPF)	The *BPF* is a computer list of all expense items that comprise a current year's budget. It also is used as a worksheet on which adjustments for the coming year's budget are made by a department's chairperson or budget officer.
Career Development Programs (CDP)	One of the three major organizational units of NTID, *Career Development Programs (CDP)* is comprised of the major academic divisions responsible for undergraduate programs, research, and educational support services.
Control Numbers	At the beginning of each planning cycle, projected budget guidelines including dollar and head count limits are provided to each organizational unit. These guidelines are called *Control Numbers*.
Controllable Expense	Budgeted funds may be transferred among *Controllable Expense* line items by the budget officer after the necessary changes have been authorized by assistant or associate deans or directors. Examples are office supplies, telephone, work-study, and travel.
Department Statement	The *Department Statement* is a financial report that is distributed monthly to all departments. It shows both the current month and year-to-date department expenditures by line item. The budget officer regularly compares the *Department Statement* with the department's budget to assess how many dollars are still available.
Director's Office	One of the three major organizational units of NTID, the *Director's Office* has executive authority for the entire Institute and for interacting with external agencies. It includes the Division of Public Affairs and the Office of Integrative Research.
Expense Comparison Report	This report is an overview of a division's or school's and its departments' spending patterns by line item over a three-year period.

BEST COPY AVAILABLE

Equipment Request Form	The *Equipment Request Form* is used by departments to support requests for new or replacement equipment. It is submitted to the assistant and associate deans and directors, and to the Dean of CDP and the Associate Vice President of TAP.
Guidance Paper	The *Guidance Paper*, written by the Institute Director, Dean, and Associate Vice President, is the formal vehicle for providing a focus for the planning process. It is presented to the staff in January.
Mission Profile	A *Mission Profile* defines what each organizational unit plans to accomplish in the coming fiscal year. One means of developing the *Mission Profile* is the use of Activity Plans. *Mission Profiles* are organized into objectives and strategies within each of the five NTID Processes.
Mission Statement	A *Mission Statement* clarifies the long term responsibilities of an organizational unit. It defines *why* the unit exists.
New Project Proposal	A *New Project Proposal* is a request for resources for major new activities that require additional resources beyond those established by control numbers for a department's, division's, or school's budget.
Noncontrollable Expense	Budgeted funds can be transferred among *Noncontrollable Expense* line items only by NTID executive administrators. *Noncontrollable Expenses* consist mainly of permanent personnel accounts and fringe benefits.
NTID Budget Report	The *Budget Report* is the coming fiscal year's NTID working budget.
NTID Processes	The major functions of NTID are divided into five basic *Processes:* Career Development, Research, Training, Information Dissemination, and Management.
Objective	An *objective* is a description of the desired end result. It defines *what* is to be accomplished. It is measurable.
Out Year	The fiscal year following the coming fiscal year, i.e., the year that is two years hence is called the Out Year.
Plan of Work	An older version of the Activity Plan, individuals may use the *Plan of Work* format to detail their objectives and activities.
Program Change Memo (PCM)	The *Program Change Memo (PCM)* is used to document the transfer of money from one line item to another when it appears that there are not sufficient budget dollars in a line item to meet expenses for the remainder of the fiscal year; dollars may be deducted from another line item and added to a deficient line item.

BEST COPY AVAILABLE

Quarterly Expense Analysis Report	The *Quarterly Expense Analysis Report* is distributed four times a year to each department and is used to compare the current year's expenditures to those of the previous year.
Strategic Plan	A *Strategic Plan,* or long-range plan, outlines the future institutional direction two or more years hence and supports the budget request submitted to the Federal government.
Strategy	A *Strategy* is a concise, measurable statement of the activity(ies) necessary to achieve an objective. A *Strategy* is *how* an objective will be met.
Supplemental Funds Request	A *Supplemental Funds Request* is a written request made by assistant and associate deans to the Dean of CDP, or by the directors to the Associate Vice President of TAP for additional dollars required to meet current objectives and strategies.
Tactical Plan	The *Tactical Plan* is the annual operational plan detailed in the Mission Profiles and budgets for the coming fiscal year.
Technical Assistance Program (TAP)	One of the three major organizational units of NTID, *TAP* is comprised of the major support divisions of the Institute: Management Services, Planning and Evaluation, Instructional Design and Evaluation, Career Opportunities, and the Educational Specialist for the Deaf Program.

BEST COPY AVAILABLE

Chapter 2 **Planning and Budgeting Calendar**

The *Planning and Budgeting Calendar* is a listing of the specific activities, products, and completion dates that comprise the planning and budgeting process.

A yearly calendar is issued with the exact due dates, which change slightly from year to year as changes in the academic year occur.

The purpose of the calendar is to inform administrators and others of the responsibilities they have during the planning and budgeting cycle, and to allow them to schedule necessary planning activities.

The calendar is proposed by the Division of Planning and Evaluation early in the academic year with input from the dean, associate vice president, and the administrators of schools and divisions. Changes in the calendar also occur as a result of information from the evaluation of the previous year's planning and budgeting process.

REMINDERS:

- File a copy of the current year's *Planning and Budgeting Calendar* in this section of the *PBM Manual*.
- Distribute copies of the calendar to faculty and staff members for their information and use.

BEST COPY AVAILABLE

PLANNING and BUDGETING CALENDAR
FY87

DEVELOPMENT OF GUIDANCE PAPER

ACTIVITY	PURPOSE	WHO	PRODUCT OR OUTCOME	COMPLETE BY
Update and revise FY86 Mission Profile and Budget	Assure that start of year Mission Profile and Budget are current	Assistant/Associate Deans/ Directors	Final FY86 CDP/TAP/DPA Mission Profile and Budget	9/1/85
Review and analyze year-end program and financial reports	Identify trends and implications	Clarcq, DeCaro, Serve, Skobjak, Craven	Program and fiscal briefings with Assistant/Associate Deans/Directors	10/30/85
Discuss ideas and concerns for the coming fiscal year	Provide areas of focus for the Guidance Paper	Director/Dean/Associate V.P./ Assistant/Associate Deans/ Directors	Draft of Guidance Paper	12/17/85

BEST COPY AVAILABLE

DEVELOPMENT OF MISSION PROFILES AND BUDGETS

ACTIVITY	PURPOSE	WHO	PRODUCT OR OUTCOME	COMPLETE BY
Conduct All-Staff Meeting/ State of the Institute Address	Present FY87 Guidance Paper	Castle	Institute-wide understanding of planning issues for FY87	1/7/86
Distribute packets with Planning and Budgeting procedures and instructions, current Budget Planning Forms (BPF)	Begin planning process and clarify final aspects of procedures	Serve, Skobjak	Departments receive planning and budgeting materials	1/24/86
Hold planning meetings with faculty/staff members	Draft individual Activity Plans Begin discussions of department Mission Profiles/Budgets	Managers/Chairpersons	Preliminary ideas and notes for FY87 Department Mission Profiles and technical support needs from other divisions	2/3/86
Prepare for Interdivisional Planning with Managers/ Chairpersons	Refine and consolidate division and school support needs	Assistant/Associate Deans/ Directors	Consolidated statement of support needs	2/24/86

BEST COPY AVAILABLE

INTERDIVISIONAL PLANNING

ACTIVITY	PURPOSE	WHO	PRODUCT/OUTCOME	BEGIN BY
Begin Interdivisional Planning Meetings with consumers and providers of support services	Define what services are needed by divisions and schools		Understanding of what support is requested from service divisions	2/24/86
		Hopkins,* Franco, Assistant Deans	Placement/Recruitment Support	
		Franco, Carroll, Directors/ Assistant/Associate Deans	Publicity Publication Marketing, and Events Support	
		Hurwitz, Stuckless, McKee, Assistant/Associate Deans	Educational Research/ Development	
		Smith, EAC	Management Support	
		Carroll, Franco, Assistant/ Associate Deans	Instructional Technology/ Development	

* The underlined individuals call and chair their respective Interdivisional Planning meetings and are responsible for reporting back to meeting participants on completed plans and budgets.

BEST COPY AVAILABLE

INTERDIVISIONAL PLANNING

ACTIVITY	PURPOSE	WHO	PRODUCT/OUTCOME	COMPLETE BY
		Smith, Servé, selected RIT staff	Institutional Services	
		Clarcq, Servé, Skobjak, Smith	Support of Dean's Office	
		Newell, Lang, Allen, Integrated Training Group	Training/Professional Development and Faculty Development	
		Hurwitz, Gillies, Assistant/ Associate Deans	Interpreting Services	
		Clarcq, Stuckless, Walter	Institutional Research	Continues into June
Chairpersons of Interdivisional Planning hold meetings with staff members	Incorporate agreements	Chairpersons of Interdivisional Planning	Understanding of services to be provided	3/10/86 (begin)
Report back to Interdivisional Planning meeting participants and to the Dean and Associate V.P.	Clarify what levels of support can and cannot be provided	Chairpersons of Interdivisional Planning	A one to two page report that includes: 1. what services will be provided within control dollars 2. what services may be provided if additional resources become available 3. what services will not be provided	3/17/86

BEST COPY AVAILABLE

COMPLETION OF SCHOOL AND DIVISION MISSION PROFILES/BUDGET PLANNING FORMS/EQUIPMENT REQUESTS

ACTIVITY	PURPOSE	WHO	PRODUCT/OUTCOME	COMPLETE BY
Conduct meetings with faculty/staff members	Complete Department Mission Profiles/Budget Planning Forms	Managers/Chairpersons	Completed Department Mission Profiles/Budget Planning Forms/Equipment Requests	3/21/86
Synthesize Department Mission Profiles/Budgets into Division/School Mission Profiles/Budgets	Generate initial Mission Profiles and BPFs for divisions/schools	Assistant/Associate Deans/ Directors	Mission Profiles, BPFs, and Equipment Requests for divisions and schools	4/4/86
Submit BPFs to Division of Planning and Evaluation	Generate updated Budget for FY87	Assistant/Associate Deans Directors	Updated BPFs	4/9/86
Submit Division/School Mission Statements, Mission Profiles, and Equipment Requests to Dean and Associate V.P.	Support budgets and prepare CDP/ TAP/DPA Mission Profiles	Assistant/Associate Deans Directors	Completed FY87 division/ school Mission Profiles	4/9/86

BEST COPY AVAILABLE

APPROVAL FOR FY87 MISSION PROFILES AND BUDGETS

ACTIVITY	PURPOSE	WHO	PRODUCT/OUTCOME	COMPLETE BY
Break out NTID Budget Report and send sections to division and school administrators	Opportunity for administrators to check the accuracy of NTID Budget Report computer printouts	Division of Planning and Evaluation	NTID Budget Report (Line Item Budgets)	4/16/86
Defend Mission Profiles/ Equipment Requests/Budgets at Individual Hearings and request supplemental funds	Accept or increase Budgets and accept Mission Profiles, Equipment Requests	Dean/Assistant/Associate Deans/Directors/Associate V.P.	Final Draft of Mission Profiles/ Budgets and Equipment Requests for CDP/TAP/DPA	5/9/86
Present CDP/TAP/DPA Budgets and Equipment Requests to NTID Budget Committee	Review FY87 Mission Profiles and Budgets for the Institute	Executive Directors/ staff support	Recommended FY87 Mission Profiles, Budgets, and lists of Equipment Requests	5/16/86
Prepare proposed FY88 budget based on enrollment targets and FY87 plan	Establish FY88 funding request within Dept. of of Education guidelines	Clarcq, DeCaro, Thompson, Serve, Hopkins	Institutional budget for FY88	5/23/86
Present proposed FY88 NTID Budget to RIT Division of Finance staff members	Preliminary review of FY88 Budget Request	Castle, Thompson	Understanding of FY88 Budget Submission	5/30/86
Present FY88 NTID Budget to RIT Budget Committee	Review FY88 Budget Request for RIT	Castle, Thompson	Approved FY88 Budget Submission	6/4/86
Distribute Final Draft of FY87 CDP/TAP/DPA Mission Profiles	Provide an understanding of activities planned for FY87	All administrators	CDP/TAP/DPA Mission Profiles	6/11/86

BEST COPY AVAILABLE

IMPLEMENTATION OF FY87 PLANS AND BUDGETS

ACTIVITY	PURPOSE	WHO	PRODUCT/OUTCOME	COMPLETE BY
Complete FY88 Budget Submission and send to Federal government	Secure operational funding for FY88	Castle, Thompson	FY88 Budget Submission	6/11/86
Share Plans/Budgets for FY87	Provide an understanding of FY87 budgets and decisions that were made	• Castle to EAC • Assistant/Associate Deans to Chairpersons • Directors to Managers • Chairpersons/Managers to Faculty/Staff members		6/30/86
Update of FY87 NTID Mission Profile and FY87 Budget Report (Line Item Budgets)	Ensure accuracy of Start of Year Mission Profile and Budget	Assistant and Associate Deans/ Directors	Final FY87 NTID Mission Profile and Budget	8/30/86

BEST COPY AVAILABLE

Chapter 3 NTID Goals and Responsibilities

Programs and services for deaf RIT students are designed to respond to eight basic responsibilities that were extrapolated from the Department of Health, Education, and Welfare *Policies, Guidelines and Application Procedures for NTID*. These goals were endorsed by the NTID National Advisory Group in 1967. Referred to as the *Eight Basic Responsibilities* of NTID they are:

1. To offer postsecondary deaf students the opportunity to prepare for and pursue semi-professional and professional level educational programs in science, technology, and applied arts that will lead to successful employment in business, education, government, and industry.

2. To provide special support services, within an institution of higher learning, that facilitate and encourage deaf students to achieve a high degree of personal, social, and cultural development.

3. To encourage qualified deaf students to pursue graduate studies at RIT or elsewhere.

4. To conduct research into the occupational and employment-related aspects of deafness.

5. To develop and evaluate new and imaginative instructional technology for application in the education of deaf students.

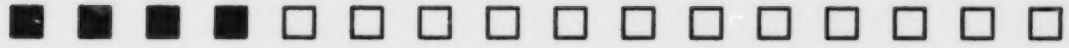
6. To conduct training programs, seminars, and short courses relating to deafness for RIT personnel, for graduate students preparing to work professionally with deaf persons, and for other special groups.

7. To disseminate information regarding current NTID practices concerning curriculum, courses of study, special services, and research findings related to those offering programs for deaf children and to the RIT educational community.

8. To develop and modify the educational specifications, to design and construct the facilities, to procure the equipment, and to develop and maintain the staff necessary to meet the objectives of NTID.

18 BEST COPY AVAILABLE

Chapter 4 **Planning Principles**



Planning, budgeting, and monitoring at NTID are governed by several operating *principles:*

1. *Every* member of the NTID staff will be given the opportunity to be involved in the planning effort, in an appropriate manner.

2. *Every* member of the professional staff and faculty, by planning with the appropriate immediate supervisor, will jointly determine what his or her responsibilities will be for the current planning period and will design a professional growth plan.

3. *All* planning will be output oriented.

4. Within the planning process, statements of need or problems should be based on verifiable data; objectives for meeting needs should be measurable; and strategies for accomplishing the stated objectives should be realistic.

5. Within established constraints, strategic and tactical plans will be the primary determinant of budget, *not vice versa.*

6. These plans will be the basis of monitoring.

7. These plans will be *one* of the primary bases of staff appraisals.

8. *All* plans will have a clear relationship to at least one of the Eight Basic Responsibilities of NTID.

Administrators should refer to these *Planning Principles* throughout the planning and budgeting process in order to guide their internal planning operations.

BEST COPY AVAILABLE

Chapter 5 **Strategic Planning**

■ ■ ■ ■ ■ □ □ □ □ □ □ □ □ □ □ □

SUGGESTED START DATE

Continual

DESCRIPTION

Strategic Planning is a process by which schools and divisions collect and analyze data to facilitate comprehensive, long-term decision making. It is outside-in planning that is attuned to external conditions as well as internal strengths and opportunities.

Strategic Planning needs to be an integral part of all academic and administrative planning deliberations, and resulting long-term policy decisions are to be reflected in Mission Statements and Mission Profiles.

PURPOSE

The purpose of *Strategic Planning* is to prepare for academic and fiscal shifts by looking ahead and analyzing the new environments (economic, technological, academic) and the new clienteles.

NTID administrators must constantly evaluate the Institute and its programs to determine where each will be in the next three to five years. In this way, NTID can maintain relevant and viable programs and services for deaf students and others. *Strategic Planning* allows schools and divisions to maintain flexibility, to be positive in responding to change, and to implement strategies in an orderly and comprehensive fashion.

PROCESS

Strategic Planning should occur continually throughout the year as information about various external and internal trends becomes available. This information may come from several sources: the National Advisory Group, Program Advisory Committees, institutional research projects, program evaluations, professional associations, and others.

34 20 BEST COPY AVAILABLE

AUTHOR/SUPERVISOR

Assistant and associate deans and directors initiate *Strategic Planning* in their schools and divisions. The Division of Planning and Evaluation can advise administrators in this long-range planning process.

PREPARATION

This may vary among schools and divisions. However, *Strategic Planning* has three major phases: data collection and analysis; evaluation of alternatives; and decision making.

BEST COPY AVAILABLE

Chapter 6 **Guidance Paper**

■ ■ ■ ■ ■ ■ □ □ □ □ □ □ □ □ □ □

SUGGESTED START DATE

Early November

COMPLETION DATE

Late December

DESCRIPTION

The annual *Guidance Paper* is the NTID formal vehicle that provides a focus for the coming fiscal year's planning and budgeting process and for major activities throughout the Institute. This document contains planning guidelines and assumptions. The *Guidance Paper* highlights the issues to which the executive administration expects the schools and divisions devote special attention. It also contains financial parameters for the coming fiscal year. It reflects national trends in areas such as education, demographics, technology, legislation, and federal budgets.

PURPOSE

The *Guidance Paper* provides direction and parameters for assistant and associate deans, directors, chairpersons, and managers to use in their planning and budgeting.

PROCESS

The *Guidance Paper* is prepared in late Fall. A summary of the paper is presented by the Director at the All-Staff Meeting in early January when the State of the Institute address is delivered. Copies of the paper then are distributed to the entire staff as the kick-off to the annual planning and budgeting process. At the same time, packets of planning and budgeting materials are distributed to all administrators. Included in the packet are a set of

36 22

BEST COPY AVAILABLE

instructions, the Institute's *Guidance Paper*, Expense Comparison Reports, the Division's Mission Profiles, and Budget System Planning Forms (BPFs). The information contained in these materials is the foundation on which planning and budgeting for the coming fiscal year (October 1 - September 30) is based.

Staff members should refer to the *Guidance Paper* as they begin writing their Activity Plans. The issues identified in the *Guidance Paper* also influence the entire planning and budgeting process in such areas as Interdivisional Planning, the development of Mission Profiles and Budget Planning Forms, and New Project Proposals, which are explained in detail in the following chapters.

AUTHOR/SUPERVISOR

The Director of NTID, the dean, and associate vice president co-author the *Guidance Paper.*

PREPARATION

In discussions with the dean and associate vice president, the assistant and associate deans and directors submit ideas and concerns for the coming fiscal year, based on an assessment of national trends and events and institutional conditions. The director, dean, and associate vice president prepare a draft *Guidance Paper* from those discussions. It then is reviewed by the assistant and associate deans and directors before being distributed to staff members.

REMINDERS

- All staff members should review the *Guidance Paper* before writing their Activity Plans for the coming fiscal year.
- Mission Profiles should reflect the issues raised in the *Guidance Paper.*
- A copy of the *Guidance Paper* should be filed in this section of the PBM Manual.

BX 23 BEST COPY AVAILABLE

Chapter 7 **Activity Plan**

■ ■ ■ ■ ■ ■ ■ □ □ □ □ □ □ □ □ □

SUGGESTED START DATE

Beginning of January

COMPLETION DATE

Mid-February

DESCRIPTION

The *Activity Plan*, a one-page form, is written by faculty and staff members to define their objectives and strategies for the coming year. Each completed form is an outline of *what* that individual intends to accomplish and *why*. When a faculty or staff member's position consists of diverse projects and tasks, he or she completes more than one *Activity Plan* form. Once completed, *Activity Plans* are used by managers and department chairpersons as the basic planning tool for developing department Mission Profiles and budgets.

PURPOSE

Activity Plans serve four important purposes:

1. One of NTID's objective is to have administrators develop approaches that promote faculty and staff involvement in the tactical (short-term) planning process. *Activity Plans* provide one opportunity for managers to involve faculty and staff in department planning.

2. *Activity Plans* provide basic information about individual objectives and activities that are included in the department Mission Profile.

3. *Activity Plans* can be used as an integral part of the personnel appraisal process; strategies on *Activity Plans* become part of the list of expected outcomes on Performance Appraisal forms.

4. Those projects and activities written in *Activity Plans* that require assistance from other divisions are used for Interdivisional Planning.

BEST COPY AVAILABLE

PROCESS

The process of developing *Activity Plans* begins with discussions among colleagues and supervisors about proposed department objectives and the collection of information relevant to each individual's involvement in the the coming year's activities. Although this effort could begin in December, the further development of *Activity Plans* would occur after all staff members and faculty receive the Guidance Paper (beginning of January) that establishes the guidelines and assumptions to be used in planning.

After completion, department staff members' *Activity Plans* are summarized in a draft of the department's Mission Profile. This establishes a preliminary list of projects that require assistance from other divisions. With this done, Interdivisional Planning can begin.

AUTHOR/SUPERVISOR

Individual faculty and staff members should draft *Activity Plans* in consultation with their supervisors.

PREPARATION

To be most useful for planning and budgeting, *Activity Plans* should include both ongoing activities and new activities or special projects undertaken in response to the issues and focus for the Institute as set forth in the Guidance Paper. (See Chapter 6.)

Usually, descriptions of ongoing activities need to be updated on *Activity Plans* only when a new thrust or shift in a department's programs occurs. For example, an *Activity Plan* that outlines an individual's counseling load might be rewritten only if the demand for counseling services changes.

The three descriptive sections of the *Activity Plan* are: 1. the assessment of the Current Situation and Need; 2. the Objectives of the activity or project; and 3. the Strategies to be used to meet the Objectives.

1. The *Current Situation and Need* section requires a brief statement establishing the reasons for the activity or special project, i.e., the problems it addresses, or the need it will serve. This statement should identify which of the five NTID Processes this *Activity Plan* involves. In the case of ongoing activities (e.g., courses that continue to be offered), this section may not need to be revised each year.

2. The *Objectives* section includes a list of the desired end results of the plan. It describes *what* is sought by this effort or activity. Examples of objectives are:

   a. To provide instruction in data processing for business careers students;

   b. To assess the adequacy of NTID curriculum in preparing individuals for job entry.

95 25 BEST COPY AVAILABLE

3. The *Strategies* section includes concise statements of the major activities that will achieve the objectives. These statements are descriptive and provide measurable outcomes by explaining specifically *how* the objectives will be accomplished. Examples of strategies for Objective 2.a. (above) follow:

   - Teach a three-credit-hour course in logical problem solving with computers.
   - Teach two three-credit-hour courses in fundamentals of computer operations.

Examples of strategies for Objective 2.b. (above) follow:

   - Design, develop, and conduct a research survey of employers of NTID alumni.
   - Summarize the data and present a report to the NTID Curriculum Committee for its use in improving programs.

REMINDERS

- Department chairpersons should review the NTID Planning Principles (Chapter 4) before they begin working with staff members on *Activity Plans* and the ensuing planning and budgeting process.
- If a person's job requires similar activities (e.g., teaching various courses), these activities are included on a single *Activity Plan* form (an effort should be made to consolidate as many similar activities as possible on a single *Activity Plan*). If activities are less similar (e.g. teaching and research) they are written on separate forms. Typically, individuals have only three *Activity Plans*. For example, a faculty member may have one *Activity Plan* for teaching, one for a research project, and one for a curriculum development project.
- In exceptional cases, a person might have as many as six *Activity Plans*. For example, a professional staff member may have one for training, one for a research project, one for a development project, one for marketing activities, and so on.
- When appropriate, supervisors may ask their staff members to attach budgets to their *Activity Plans* to help construct the proposed department budget.
- In some departments, *Activity Plans* may have to be rewritten each year only for new projects or services.
- Since the needs of departments vary, planning techniques are tailored accordingly. Therefore, although the *Activity Plan* format is suggested, individuals may continue to use the old *Plan of Work* format.

BEST COPY AVAILABLE

NTID ACTIVITY PLAN

Division/School	**Department**
Engineering/Science	*Technical Math*
Title	**Initiation Date**
Instruction	*FY85*
Activity Leader	**Team Members (if appropriate)**
Kurt Godel	*N/A*

Current Situation and Needs

Nearly all entering and most continuing NTID students lack sufficient technical math skills appropriate to a variety of technical occupations.

Sample

Objectives

1. *Provide instruction in technical mathematics at several skill levels.*
2. *Be responsible for the curriculum management of those courses.*
3. *Be responsible for student advising for those courses.*

Strategies

1. *Teach two three-credit-hour courses in fundamentals of technical mathematics.*
2. *Teach a three-credit-hour course in linear algebra.*
3. *Teach a three-credit-hour course in analytic geometry.*

BEST COPY AVAILABLE

NTID ACTIVITY PLAN

Division/School	**Department**
Technical Assistance Programs	*Research*
Title	**Initiation Date**
Employer Follow-up Study	*FY86*
Activity Leader	**Team Members (if appropriate)**
W. Welsh	*Hamil, Skobjak, Policano*

Current Situation and Needs

NTID must supply information to the U.S. Department of Education on the status and effectiveness of NTID programs. One measure of the outcomes of technical education is the satisfaction of employers with NTID graduates. Of special interest are employers' evaluations: their perceptions of how well NTID prepares graduates for work and suggestions for improving the curriculum and instruction of NTID.

Sample

Objectives

1. *Provide a base for making decisions regarding programs, services, and equipment by assessing how employers rate students from Program X as compared with other employees in terms of attitudes, abilities, and performance on the same job.*

2. *To assess the adequacy of NTID curriculum in preparing individuals for job entry and advancement potential.*

Strategies

1. *Design, develop, and conduct a research survey of employers of NTID alumni.*

2. *Analyze data and complete a detailed research report for educational planners and classroom instructors.*

3. *Write a highlight report for the U.S. Department of Education and the general public.*

BEST COPY AVAILABLE

NTID ACTIVITY PLAN

Division/School **Department**

Title **Initiation Date**

Activity Leader **Team Members (if appropriate)**

Current Situation and Needs

Objectives

Strategies

BEST COPY AVAILABLE

Chapter 8 New Project Proposal

SUGGESTED START DATE

Beginning of January

COMPLETION DATE

Mid-April

DESCRIPTION

A *New Project Proposal* is a request for additional resources (money, space, personnel, equipment) over and above the division's or school's Control Number (total amount on the division's or school's Budget System Planning Form, see Chapter 12) to support major new activities. It represents a change or addition to either the objectives or responsibilities of a department, division, or school. The *New Project Proposal* is usually five to six pages in length.

PURPOSE

The *New Project Proposal* allows for creativity and innovation by faculty and staff members. A *New Project Proposal* is both a means to gain approval for implementating the proposed objective and a means to acquiring the necessary resources (money, personnel, space, and equipment). *New Project Proposals* are one part of strategic (long-range) planning because they exist to encourage creative strategies for meeting changes in external or internal conditions that will affect, over the long term, the education of deaf persons.

PROCESS

In April, a *New Project Proposal* is submitted to the dean and associate vice president during the regular planning cycle, along with the school's or division's Mission Profile and BPF. It often is written in response to the Guidance Paper, which can provide a focus for developing *New Project Proposals*.

30 BEST COPY AVAILABLE

Based upon available resources and the considered value of the proposed project, the *New Project Proposal* may be approved totally, partially, or not at all. The author may be asked to revise the *New Project Proposal* in order to receive approval, but a revision does not guarantee approval.

Once a *New Project Proposal* is approved, it becomes part of the coming year's Mission Profile and budget.

AUTHOR/SUPERVISOR

New Project Proposals may be developed by any faculty or staff member. However, they generally need the approval, support, and advocacy of the proposer's supervisor.

PREPARATION

A *New Project Proposal* must include:

1. *Abstract* - a maximum one-page summary of the key elements of the proposal;

2. *Statement of Current Situation and Need* - a maximum two-page narrative identifying the problem(s) or need(s) that the project can solve or meet. This statemen is based upon and cites relevant data and identifies the benefits or opportunities that would be lost if the *New Project Proposal* were not accepted;

3. *Objectives* - a one-page explanation of what the project intends to accomplish;

4. *Strategies* - a brief outline of what specific results should be achieved through the implementation of the project. The strategies should be measurable and will become the evaluation criteria against which the success of the project will be gauged;

5. *Project Design* - a discussion of implementation, management procedures and time frame;

6. *Budget and Other Resource Requirements* - here budget and resource requirements are identified. This section includes a detailed line item budget, and physical space and personnel requirements. The effect of this request for funding on future years' budgets should be identified. In other words, is this a one-time request for funds or will it be continual?

BEST COPY AVAILABLE

REMINDERS

Persons making requests should:

- Anticipate special problems that would affect implementation of the *New Project Proposal;*
- Determine that the new project cannot be financed with existing resources in their school or division;
- Determine if the project is similar to current projects completed in previous years and would, therefore, be redundant.

New Project Proposals that respond to issues addressed in the Guidance Paper are more likely to receive funding.

BEST COPY AVAILABLE

NEW PROJECT PROPOSAL FOR RECRUITMENT AND MARKETING IN TECHNICAL EDUCATION

Project Title: *Increasing the Enrollment of Women in Engineering Technologies at NTID at RIT*

Abstract

In response to Federal legislation mandating technical education programs that overcome sex bias, Engineering Technologies proposes a multifaceted approach to increasing the enrollment of women in its programs. Active recruitment, counseling workshops, the development of introductory programs, and increaing the availability of course and career information for students and their parents comprise part of a three-year, $69,000 effort to reverse a national and statewide trend of low enrollment of women in non-traditional technical programs.

Statement of Current Situation and Need

The Federal government, through the U.S. Vocational Education Amendments of 1976 (Title 1, Part A, Sec. 101) and Title IX of the Education Amendments, has mandated that states develop and carry out such programs of technical education so as to overcome sex discrimination and sex bias and thereby furnish equal educational opportunities in technical education for persons of both sexes. Although there are tough guidelines for eliminating discrimination against members of minority groups, women, and handicapped persons in technical education programs, little overall effect has been shown on postsecondary technical programs. Although there was a substantial increase between 1972 and 1978 in the percentage of women enrolled in non-traditional technical programs, the rate of increase fell off after 1976, and in some cases enrollment of women decreased by 1978. In New York State, women are 13.5 percent of the enrollment in non-traditional technical programs.

Currently, NTID at RIT has a commitment to equal opportunity for all students in regard to curricula, activities, and services. However, there are few students of either sex in the non-traditional technical programs. There especially is a paucity of women in the Engineering Technologies.

Graduates in Engineering Technology can look forward to attractive job offers at substantial entering salaries. In addition, employers express continued need for qualified women and minorities. The revolution in science and technology is reshaping the labor force. Labor market observers predict that in 25 years most of the jobs now held by women will be phased out.

BEST COPY AVAILABLE

Review of Recent Research:

- Those schools that put the most effort into various activities to further equity were also those with the highest enrollment of women in non-traditional programs.
- Successful sex equity programs established a liaison with potential employers, provided participants with support services and orientation to the program, instituted comprehensive evaluation, and employed dedicated staff.
- There have been significantly greater increases in adult women's enrollment in non-traditional programs through postsecondary education than through secondary programs.
- The greater the total of non-traditional students in Engineering Technologies, the greater the likelihood that the non-traditional students will stay in the program.

Objectives:

1. Increase non-traditional student enrollment based upon student interest in and aptitude for Engineering Technologies programs.
2. Actively recruit and retain women into the NTID at RIT Engineering Technologies programs and other identified non-traditional technical programs.
3. Provide for the informational needs of NTID at RIT staff members and student body concerning sex equity in technical education.
4. Provide instructional materials and strategies to retain women in NTID at RIT Engineering Technologies programs.
5. Promote non-traditional student interest in engineering, science, and mathematics careers.
6. Expand education programs and services to broaden awareness of career options.

Strategies:

Counseling

- Further develop a program of support for women in Engineering and Industrial Technologies. Women in Engineering Technologies programs demonstrate significantly less self-confidence in their ability to achieve than men. NTID has begun a support group, but further guidance and development is needed.

Faculty Development

- Plan and provide at least one major staff development workshop for NTID personnel each year on the topic of "Recruiting and Retaining Women in Non-Traditional Technical Education Programs."

BEST COPY AVAILABLE

Curriculum and Instruction

- Assess technical education materials for two program areas each year in terms of sex bias and sex stereotyping.

- Identify and purchase a minimum of 10 items for library collections concerning sex fairness and sex equity in technical education.

- Establish an "Introduction to Engineering Technologies" course for women who express an interest before enrollment. This might be a part of current Summer Vestibule Program (SVP) sampling activities. (The Snell (1977) study indicates that recruitment efforts are improved by providing the opportunity for students to try out the course to dispel their fears of rejection by students of the opposite sex and to gain familiarity with the course setting and content.)

Career Education

- Through the Career Education (CE) Parent Workshops, inform families of interested women and encourage their support; parental influence is very important.

- Convey information and heighten awareness through bulletin boards, display cases, etc.

- Produce one half-hour videotape or slide presentation for use by counselors, recruiters, and instructors that shows NTID at RIT graduates working in non-traditional technical fields.

Collaboration

- Work with two technical program advisory committees to keep informed about current working conditions.

- Maintain contacts with counselors in five feeder schools to ensure that information gets to all secondary students.

Project Design

Year One:

1. Form a network of interested NTID and RIT people to develop a cooperative plan of action to further refine objectives. This already has been explored with RIT staff members.

2. Investigate and review other model programs such as FACIT at Tri-Dent Community College and *Women in Engineering* at Monroe Community College and review the current research from Ohio State Research Center regarding variables that make a difference in successful non-traditional programs.

3. Meet with the New York State Sex-Equity Coordinator for information and guidance.

BEST COPY AVAILABLE

4. Collect data:
   - review past efforts and activities, especially available NTID and RIT media;
   - assess current status of NTID and RIT programs;
   - analyze student flow from SVP.

5. Set recruitment goals.

Year Two:

1. Conduct workshops for faculty, parents, and others.

2. Complete production of materials: videotape, posters, etc.

Year Three:

1. Evaluate curriculum and instructional materials.

2. Assess progress and revise objectives and outcomes.

3. Project Management:
   Project Director - This person will coordinate, direct, and implement all project activities, including writing and submitting all proposals, budgets, and the final report. These duties will require approximately 25 percent of a full-time professional assignment.

   Assistant Project Director - This person will coordinate all academic and curriculum activities.

   Research Associate - This person will coordinate instructional media production for the project.

Budget and Other Resource Requirements

a. Personnel		
Project Director (0.25 FTE)	$ 7,500	
Assistant Project Director (1.0 FTE)	26,000	
Research Associate (1.0 FTE)	20,000	
		$53,500
Fringe Benefits		11,000
b. Travel		
Interviewing and Filming 4 trips at $800		3,200
c. Office Supplies		
Production Tapes (5)	$500	
Copies	100	
Artwork	200	
Reprints of government documents, reports, bibliographic materials	400	1,200
d. Honoraria		600
	Total:	$69,500

50

36

BEST COPY AVAILABLE

Chapter 9 **Interdivisional Planning**

■ ■ ■ ■ ■ ■ ■ ■ ■ □ □ □ □ □ □ □

SUGGESTED START DATE

Mid-late February

COMPLETION DATE

Mid-March

DESCRIPTION

Interdivisional Planning is the process whereby all departments predict their service needs for the coming year. It usually includes meetings and/or written communications between directors of service divisions and directors of consumer divisions. Through these meetings and memoranda, the consumer divisions identify needs for products, information, development, etc. from service divisions such as Public Affairs or Instructional Design and Evaluation. In turn, all divisions build their Mission Profiles based, in part, on the results of this planning.

PURPOSE

Interdivisional Planning is important to both consumers and providers of services so that Mission Profiles and budgets (Budget System Planning Forms) can accurately reflect the plans and costs of the services requested.

This collaborative planning also strengthens the links between TAP/DPA and CDP and insures a comprehensive approach to education at NTID.

PROCESS

Interdivisional Planning meetings begin in late February, several weeks after the formal start of the planning and budgeting process. Before these meetings, each department has drafted a preliminary list of projects and activities, from staff members' Activity Plans, that require

51 37 BEST COPY AVAILABLE

assistance from other divisions. These lists are collected through memoranda and meetings by the chairpersons of Interdivisional Planning (they represent the service areas: Public Affairs, Instructional Design and Evaluation, Interpreting Services, etc.). After the chairpersons of Interdivisional Planning and staff members of each service division consider the lists of requested services, the chairpersons notify the consumer divisions as to which services can or cannot be provided. The administrators of the consumer departments, divisions, and schools finish writing, or re-write, the objectives and strategies for their Mission Profiles.

The next steps in the planning process are writing the final drafts of Mission Profiles and fine tuning the Mission Statements.

AUTHOR/SUPERVISOR

The following persons supervise the seven NTID service areas. Since they determine which projects can or cannot be undertaken by their departments or divisions, they are called the chairpersons of *Interdivisional Planning* for these Institute functions:

Public Affairs - Director
Instructional Design and Evaluation - Director
Training and Affirmative Action - Manager
Interpreting Services - Department Chairperson and Associate Dean
Institutional Research - Associate Vice President
Educational Research and Development - Associate Dean
Management Services - Director
Outreach - Director

PREPARATION

The chairpersons of *Interdivisional Planning* decide how to collect and consider requests for services. They notify all departments in mid-February of their need for service requests and supporting information. Chairpersons collect data in whatever way they deem appropriate. After considering requests, each chairperson of *Interdivisional Planning* writes a one or two-page report for the Dean and Associate Vice President that includes: 1) what services can be provided within controllable dollars, 2) what services may be provided if additional resources become available, and 3) what services will not be provided. The chairpersons also notify consumer departments, and divisions and schools as to which requests will be honored.

BEST COPY AVAILABLE

REMINDERS

- The chairpersons of *Interdivisional Planning* should allow a few weeks for departments, divisions, and schools to do their preliminary planning before they request lists of service needs. Then *Interdivisional Planning* should be scheduled a few weeks after the departments, divisions, and schools do this planning.

- A preliminary Mission Profile helps to identify needs for services from other departments, divisions or schools and its development must precede the *Interdivisional Planning* process. As a result of *Interdivisional Planning*, a Mission Profile may be revised for such things as products to be completed or services to be offered.

- *Instructional Development Projects* - As of FY86, a new means for ranking Instructional Development (ID) projects within schools and divisions has been approved. Assistant and associate deans and directors must consider the following factors when considering ID projects before they are submitted to the Department of Instructional Design and Evaluation during *Interdivisional Planning*. Not all factors on this list will apply to every ID request. However, they should help each assistant dean and division director determine the relative importance of ID projects.

BEST COPY AVAILABLE

FACTORS TO CONSIDER WHEN REVIEWING AN INSTRUCTIONAL DEVELOPMENT REQUEST AT THE DIVISIONAL LEVEL

Problem Statement

The Problem

- Is the nature of the problem or need defined?
- To what extent does the proposal address a real, identified need?
- Is the relative size of the problem defined: number of students and number of teachers, how frequently content is taught, and for how long?
- Is an internal or external audience served, or both?

The Solution

- What type of request is the Instructional Development project?
  - Development = Creation of new instructional treatment.
  - Service = Media development support.
  - Maintenance = Revise and/or reproduce past ID project.
- Does the solution reflect a theoretical base?
- Is the solution at the course, curriculum, or program level?
- Does the solution use appropriate instructional design and technology?

The Benefits

- Are potential benefits (to students, faculty, and NTID) described?
- Are duration, range, and scope of impact described?
- What is the analysis of cost of development versus benefits?

The Schedule

- Are starting, milestone, and completion date stated?

The People

- Are key personnel listed?

54 BEST COPY AVAILABLE

Quality of Idea

- Is there a significant impact on direct instruction?
- Will the project resolve a significant problem or issue in deaf education?
- Is the treatment new or has it been done before?
- Is the content difficult to teach using traditional methods?

Organizational Congruency

- Does the project exist in division or school Mission Profiles and relate to division, school, and NTID priorities?
- To what degree does the project satisfy basic missions of NTID?
- Has the proposal been reviewed by and does it have the support of the department chairperson, faculty, and instructional developer (or senior faculty with ID background)?
- Does the proposed schedule for development fit with NTID schedules and plans?

Potential for Successful Completion of Project

- Has the person(s), who will be the content specialist(s), seen, experienced, and understood the need underlying the proposal?
- Is there evidence that the idea has a prototype and that there is a likelihood of success?
- How many faculty are involved and do they have release time to work on the project?
- Is there evidence that faculty (content specialists) are committed to the needs and plans that have been outlined in the proposal?
- Do the faculty (content specialists) have prior development experience?
- Is the plan appropriate and reasonable?

BEST COPY AVAILABLE

Chapter 10 **Mission Profile**

SUGGESTED START DATE

Early February

COMPLETION DATE

Early April

DESCRIPTION

A *Mission Profile* is several pages long and defines *what* a department, division, or school plans to accomplish (objectives) in the coming fiscal year, and *how* it will be done (strategies). A *Mission Profile* includes Activity Plans and the results of Interdivisional Planning, which respond to issues in the Guidance Paper.

It is a tactical plan and although it is more specific than a strategic plan, it reflects how the Institute's, schools', divisions', and departments' long-range plans affect their objectives.

A *Mission Profile* is the planning document for which every administrator is held accountable. This document provides the structure for program implementation, monitoring, and reporting of accomplishments at each organizational level.

PURPOSE

Mission Profiles are the heart of the planning, budgeting, and monitoring process. These statements of proposed objectives and strategies justify a department's, division's, or school's budget request. (Note: department, division, and school budgets, Chapter 12, are developed concurrently with the *Mission Profile*.) In addition, the *Mission Profile* is a tool for monitoring progress toward objectives. Ultimately, all *Mission Profiles* are used to develop an NTID *Mission Profile*, which becomes part of NTID's budget submission to RIT and the Federal government.

56
42 BEST COPY AVAILABLE

PROCESS

In the planning sequence, the drafting of each department's preliminary *Mission Profile* occurs after the development of individual Activity Plans and in consultation with faculty and staff members. Objectives and strategies from Activity Plans are abstracted into the department *Mission Profile*, which subsequently is completed after Interdivisional Planning.

Next, each director and assistant or associate dean, in consultation with department administrators, synthesizes his or her departments' *Mission Profiles* and drafts the division or school *Mission Profile*, which also includes these administrators' institutional management responsibilities. And so the process continues on up the organizational ladder.

School and division *Mission Profiles* are reviewed by the dean and associate vice president, respectively. They assess the quality of the proposed objectives, strategies, and changes in plans from year to year. They note how the plans in the *Mission Profiles* address issues in the Guidance Paper, and evaluate how well each plan supports its accompanying proposed budget.

TAP/DPA and CDP *Mission Profiles* are a merger of the divisions' and schools' *Mission Profiles*. TAP/DPA, and CDP *Mission Profiles* are further synthesized into an NTID *Mission Profile* that eventually becomes part of the budget submission to RIT and the Federal government.

Later, during the periodic monitoring of *Mission Profiles* and budgets, individuals and administrators report on progress toward those objectives and strategies.

AUTHOR/SUPERVISOR

Mission Profiles are completed, in turn, by all department chairpersons, managers, division directors, and assistant and associate deans, with input from faculty and staff members.

PREPARATION - SECTION I

Mission Profiles should include descriptions of ongoing activities and new or special projects that respond to issues in the Guidance Paper.

The three sections (columns) of the *Mission Profile* form include:

1. *Process*
   Mission Profiles are organized by the five NTID Processes: Career Development, Research, Training, Information Dissemination, and Management. Each process category is divided into sub-processes. Specific objectives and strategies for the coming year

57 43 BEST COPY AVAILABLE

should be written for only those sub-processes that fall within a department's, division's, or school's purview. In two cases — Direct Instruction (a sub-process of Career Development) and Support Department Activities — supplemental forms (included in the packet of planning and budgeting materials) are completed that contain statements of outcomes for those objectives. The five NTID processes and their sub-processes can be found in this chapter, PREPARATION - SECTION II).

2. *Objectives and Strategies*

• *Objectives*

Objectives provide the focus for the coming year's strategies and indicate in measurable terms *what* the unit is trying to accomplish. Objectives for each sub-process are drawn from the major responsibilities outlined in each division's or school's Mission Statement. The objectives state the desired end results of the organizational unit's activities.

Examples:

a. *Academic Support Activities — Articulation Efforts with Other RIT Colleges:* Establish curricular affiliations with other departments within and outside of the School of Visual Communication Careers through the development of new courses, computer networks, and other associations.

b. *Student Support Activities — Counseling:* Provide deaf students with opportunities for self-awareness, personal growth, and the development of socially appropriate activities through workshops and consultation.

• *Strategies*

Strategies state *how* the specific operations, projects, and activities will enable a department, division or school to achieve its objectives; strategies are measurable quantitatively (how many?) and/or qualitatively (how well?). They are concise. Department strategies toward an objective may also be an individual's objective with associated strategies from his or her Activity Plan.

Examples:

a. Recruit and screen applicants from 50 states to ensure an enrollment of approximately 300 new students.

b. Provide 2,500 hours of instruction to 100 students through 21 courses.

c. Offer two experiential education field trips to NCDS students as part of their overall program.

d. Provide twenty hours of off-terminal instruction to each SIGI user who is not an undecided major (NCDS) student.

e. Modify hardware and software modifications for the telecommunications project between Business Careers and Printing Production Technology.

BEST COPY AVAILABLE

3. *Changes and Initiatives*
   It is necessary to note changes (additions and deletions) to the *Mission Profile* objectives and strategies that will be implemented in the succeeding year. For example, planning for FY88 may require changes to the FY87 Profile that should be noted in the right-hand column, which is completed during planning for the succeeding year.

PREPARATION - SECTION II

The following table, "Process Categories for Planning and Reporting," defines the categories for which objectives and strategies are developed. The "X" indicates which processes and sub-processes need to be addressed in the Mission Profile by administrators in TAP, CDP, and the Director's Office. Unless a supplemental form is used, list on the Mission Profile the objectives and strategies for each appropriate process or sub-process.

58
45
BEST COPY AVAILABLE

PROCESS CATEGORIES FOR PLANNING AND REPORTING

NTID Process (and sub-processes)	*Response Needed* CDP	TAP	Director's Office
I. Career Development			
A) Direct Instruction - NTID (Supplemental form, no narrative)	X	X	X
B) Support Department Activities - Other RIT Colleges (Supplemental form, no narrative)			
1) Notetaking	X		
2) Interpreting	X		
3) Tutoring	X		
4) Instruction	X		
C) Student Support Activities			
1) Recruitment		X	
2) Admissions		X	
3) Employment Services		X	
4) Personal/Social Development (Co-curricular/extra-curricular activities toward student development in responsibility, independence, critical thinking, etc.)	X	X	
5) Academic Program Advising	X		
6) Counseling	X		
7) Learning Development Activities	X		
8) Communication Services	X		
D) Academic Support Activities			
1. Instructional Design		X	
2. Technical Services		X	
3. Articulation Efforts with Other RIT Colleges	X	X	X
4. Academic Administration	X		
II. Research			
A) Research Projects (Objectives should present the major research themes or programs of research. Strategies should specify titles or a brief description of the project.)	X	X	X
B) Program/Course Development 1. Programs to be added or deleted 2. Planned curricular modifications 3. Planned advisory committee activities	X	X	X
C) Program Review/Evaluation	X	X	

BEST COPY AVAILABLE

PROCESS CATEGORIES FOR PLANNING AND REPORTING (Continued)

NTID Process (and sub-processes)	*Response Needed* CDP	TAP	Director's Office
III. Training/Outreach			
A) Training			
1. Internships		X	
2. Interpreter Training	X		
3. External Training	X	X	X
B) Cooperation with Business/Industry	X	X	X
C) Tutor/Notetaker Training	X		
IV. Information Dissemination			
A) External Professional Activities (professional organization work)	X	X	X
B) Information Dissemination	X	X	X
C) External Visitors		X	X
V. Management			
A) Policy Development	X	X	X
B) Planning			
1. Guidelines	X	X	X
2. Support		X	
C) Facilities Coordination		X	
D) Cost Effective Measures (i.e. multiple staff arrangements, combinations of curriculum, energy saving measures)	X	X	X
E) Personnel and Affirmative Action	X	X	X
F) Professional Development (internal training)	X	X	X
G) Computer Support		X	
H) Finance		X	X
I) Word Processing/Duplicating/Mail Service		X	

61 47

BEST COPY AVAILABLE

REMINDERS

- When objectives and strategies do not seem to fit within the sub-processes. the Division of Planning and Evaluation can be consulted.

- Ad hoc projects should be added to the *Mission Profile* as it is adjusted and updated during the year.

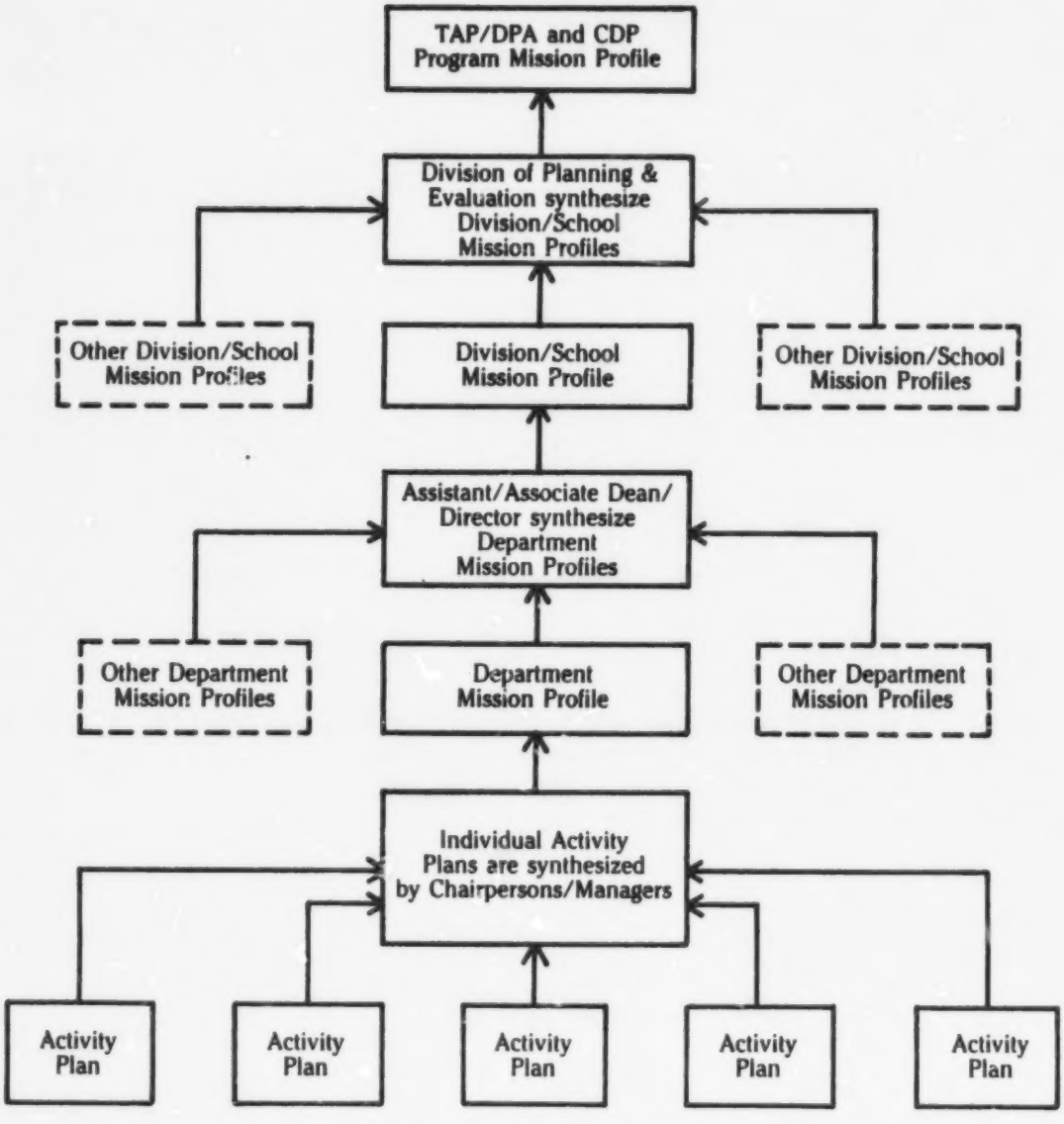
- If the department, division, or school is planning new objectives and strategies for the coming year that require additional resources (funds, space, personnel, etc.), a New Project Proposal (see Chapter 8) is written and submitted along with the *Mission Profile* and BPF to the Dean or Associate Vice President.

- The diagram on the next page outlines this synthesis.

88 48

BEST COPY AVAILABLE

MISSION PROFILE FLOW CHART


TAP/DPA and CDP Program Mission Profile
Division of Planning & Evaluation synthesize Division/School Mission Profiles
Other Division/School Mission Profiles
Division/School Mission Profile
Other Division/School Mission Profiles
Assistant/Associate Dean/ Director synthesize Department Mission Profiles
Other Department Mission Profiles
Department Mission Profile
Other Department Mission Profiles
Individual Activity Plans are synthesized by Chairpersons/Managers
Activity Plan
Activity Plan
Activity Plan
Activity Plan
Activity Plan

BEST COPY AVAILABLE

MISSION PROFILE

School or Division: School of Visual Communication Careers Department: Printing Production

PROCESS	FY86 OBJECTIVES & STRATEGIES	FY87 CHANGES & INITIATIVES
I. Career Development		
A. Direct Instruction	(see Supplemental Form 1, attached)	
B. Student Support Activities	Provide Personal/Social Development Opportunities. Continue the activities of the student Printing Club (evening meeting with guest speakers and off-campus meeting at industrial sites). The Printing Club will also serve as a forum for obtaining student feedback for the purpose of program improvement. This feedback is given to the School's Assistant Dean, Department Chairperson and Faculty.	
C. Academic Support Activities	1. Identify and develop program opportunities for deaf students in the School of Printing and Technical and Education (T&E) Center. a) Continue with our highly successful Screen Printing pilot project with a 2 course sequence in Fall and Winter Quarters. Efforts will be made to develop Screen Printing co-op sites and further investigate Screen Printing curricular options in our program. b) Continue our relationship with the T&E Center in the area of binding, finishing and printing.	

Sample

BEST COPY AVAILABLE

MISSION PROFILE

School or Division: School of Visual Communication Careers Department: Printing Production

PROCESS	FY86 OBJECTIVES & STRATEGIES	FY87 CHANGES & INITIATIVES
	2. Support SVP planned activities and provide feedback for program improvement. a) Our department SVP coordinator will continue to work closely with the SVP office, attend meetings, and provide feedback. 3. Provide input for possible Direct Admission Option. a) Work with the chairs of the SVCC to develop recommendations and policies for a direct admission option. 4. Continue to support the School's Basic Skills activities. a) Support all work associated with Phase II which includes the skills/competencies necessary to complete a course of study at NTID/SVCC.	
D. Program/ Course Develop- ment	1. Planned activities for curriculum advisory committee. a) To restructure our committee membership to better provide our faculty with information and concerns of small and medium size printing companies through a representative group of printing company managers. b) Utilize selected School of Printing advisory committee members to provide our department information on global topics in the printing industry.	

Sample

BEST COPY AVAILABLE

MISSION PROFILE

School or Division: School of Visual Communication Careers Department: Printing Production

PROCESS	FY86 OBJECTIVES & STRATEGIES	FY87 CHANGES & INITIATIVES
	c) Utilize the committee's input and support to develop the Screen Printing Technician option for our program. 2. Establish curricular affiliations with other departments within and outside of SVCC through the development of new courses, computer networks, and other associations. a) Examine the possibility of school courses which would address the common concerns of all departments without compromising the legitimate and obvious needs of a particular major or program. b) Continue the Business Careers/Printing Production "Telecommunication Project." Complete all hardware and software modifications necessary to communicate between Bldg. 14 and Bldg. 07 via the VAX system for typesetting purposes from word processing input. c) To continue formal linkages with the S.O.P.'s Newspaper Production Management Department, i.e., production of color separations and IPL class production jobs like SVCC's "Images." d) Continue expanding working relationships between our production class (IPL) and Applied Art's "In-House Co-op."	

Sample

BEST COPY AVAILABLE

MISSION PROFILE

School or Division: Career Opportunities

Department: Career Outreach and Admissions

PROCESS	FY86 OBJECTIVES & STRATEGIES	FY87 CHANGES & INITIATIVES
I. Career Development Career Outreach & Admissions	1. Generate and process 750-800 applications to admit 415 new students (365 SVP, 50 Fall). a) Implement on-site visits establishing and/or maintaining relationships with 750 deaf secondary students, 50 postsecondary students, 200 educators, 250 parents, and 80 Vocational Rehabilitation professionals in 70 programs in 20 states. b) Provide career information to a minimum of 450 on-campus visitors. c) Continue to cooperate with the technical departments for direct admissions to majors. d) Analyze innovative recruiting strategies and select for implementation those which are appropriate. e) Investigate establishment of educational transition options from selected postsecondary programs for the deaf to NTID. 1. Continue to identify majors at NTID and postsecondary programs compatible with automatic transfer. 2. Continue to work with state coordinators of Vocational Rehabilitation.	

Sample

BEST COPY AVAILABLE

MISSION PROFILE

School or Division: Career Opportunities

Department: Career Outreach and Admissions

PROCESS	FY86 OBJECTIVES & STRATEGIES	FY87 CHANGES & INITIATIVES
	2. Continue to implement and revise the components of the marketing student recruiting system. a) Continue to implement the computerized inquiry system. b) Continue to implement a data support system that provides trend analyses for planning and evaluate marketing and recruiting activities. c) Select media for student recruitment presentations. d) Implement, where appropriate, strategies that overlap with NCED activities. 3. Maintain an active network of informed alumni. a) Implement the Alumni Admissions Training Program. 1. Used trained alumni to work with a recruiter in 5 school events. Continue to evaluate the use of a trained alumnus as a substitute for recruiter at 5 school events. 2. Develop various technical assistance packages to send to trained alumni to continue to update their information.	

Sample

BEST COPY AVAILABLE

MISSION PROFILE

School or Division: Career Opportunities

Department: Career Outreach and Admissions

PROCESS	FY86 OBJECTIVES & STRATEGIES	FY87 CHANGES & INITIATIVES
	4. Influence the career development of deaf students in elementary and secondary schools. a) Continue to implement the Educational Awareness Package for ninth graders using dissemination plan. Use with a minimum of 5 programs. b) Continue to promote the Career Awareness Summer Program for high school sophomores and their parents and facilitate the offering in at least one location. c) Contact a maximum of 12 CE network teams to provide consulting assistance. d) Deliver formal in-service training on an ad hoc basis to programs in the CE network.	
II. Research	D. Analyze the attainments of selected secondary school graduates and the implications for Pre-NTID at RIT programming and technical assistance. 1. Given the expressed concern of the CEASD Research Committee and a resolution passed by the CEASD voting members, maintain a longitudinal research program to investigate the trends in labor forces and educational activities of secondary school graduates. 2. Establish a research project to investigate and report the trends indicated by the Secondary School Follow-up Program using a statistically representative sample drawn from the sample schools in the national programs.	

Sample

BEST COPY AVAILABLE

MISSION PROFILE

School or Division: Career Opportunities

Department: NCED

PROCESS	FY86 OBJECTIVES & STRATEGIES	FY87 CHANGES & INITIATIVES
I. Career Development Instructional Design	1. Make an impact on the workplace accommodation of deaf workers through the design and development of industrial training products. a) Produce participant package for supervisor's training program, "Working Together." b) Pilot trainer's materials for corporate supervisors' training program. c) Package and plan for dissemination of instructor's guide to accompany *How to Get The Job You Really Want.* d) Pilot the "Job Search Process" course.	
II. Training External Training	1. Facilitate the integration of deaf students and graduates into the workplace. a) Conduct 6 supervisor training programs, "Working Together," for 85 current/imminent supervisors of NTID co-op students or students. b) Conduct 2 national employer training programs at NTID for 50 employers. c) Conduct *Doing Business With Business* on an ad hoc basis.	

Sample

BEST COPY AVAILABLE

MISSION PROFILE

School or Division: _____ Department: _____

PROCESS	FY87 OBJECTIVES & STRATEGIES	FY88 CHANGES & INITIATIVES

BEST COPY AVAILABLE

Chapter 11 **Mission Statement**

■ ■ ■ ■ ■ ■ ■ ■ ■ ■ ■ □ □ □ □ □

SUGGESTED START DATE

Mid-February

COMPLETION DATE

April

DESCRIPTION

Mission Statements outline each school's and division's specific charge or major areas of responsibility within the context of NTID's Eight Basic Responsibilities. (See Chapter 3.)

Mission Statements explain *why* a school or division exists and are written, therefore, with long-range perspectives. These statements should be concise and rarely exceed two pages.

PURPOSE

A *Mission Statement* defines the special character of a school or division for the purpose of establishing a general direction, overall goals, and relative priority (emphasis) for the activities of its various departments. It gives focus to a school's or division's tactical and strategic planning.

PROCESS

The *Mission Statement* is developed, reviewed, or revised in conjunction with the development of a school's or division's Mission Profile. Therefore, work on the *Mission Statement* usually begins as the assistant dean or director reviews the coming year's Mission Profiles from his or her departments.

A school's or division's *Mission Statement* is submitted to the dean or associate vice president along with its Mission Profile and budget.

BEST COPY AVAILABLE

AUTHOR/SUPERVISOR

The assistant and associate dean or director writes the *Mission Statement* for his or her school or division.

PREPARATION

Although *Mission Statements* may remain relatively unchanged for a few years, they should be reviewed annually and updates should be based on changes in NTID's strategic (long-range) plans, new directions from the Federal government, and advice from the National Advisory Group.

The *Mission Statement* is submitted with the Mission Profile and Budget Planning Forms in mid-April. It serves as a preface to these materials.

REMINDERS

- The school's or division's *Mission Statement* should adequately reflect at least one or two of the Eight Basic Responsibilities of NTID.

BEST COPY AVAILABLE

SCHOOL OF VISUAL COMMUNICATION CAREERS (SVCC)

Mission Statement FY86

Introduction

It should be evident that our "raison d'etre" is the deaf student. The School of Visual Communication Careers continues to embrace, without compromise, the basic principles of optimal learning for its students. In this spirit, individual department mission profiles have been "fine tuned" to reflect this mission. The SVCC Director maintains the fullest confidence in the faculty and staff and their commitment to focus on the student. That is as it should be!

In addition to the individual department Mission Profiles (attached), highlights of certain planned activities that might be viewed as having school-wide implications are included here. These are expectations that all parts of the School will concentrate on beyond individual or department-level plans.

Sample

A. Career Development

The School of Visual Communication Careers offers technical programs of study to 208 deaf students in Applied Art, Applied Photography/Media Production, and Printing Production Technology. SVCC provides direct and indirect support services to 53 deaf students cross registered in the Colleges of Fine and Applied Arts, Graphic Arts and Photography, and Applied Science and Technology (Audiovisual Program); 22 other students outside SVCC also use our support services. Further, 40 students undecided about their major (NCDS/NVCG), receive a comprehensive program of career exploration activities and advising/counseling services.

Employment for graduates of the School of Visual Communication Careers has averaged above 90 percent. Placement of Spring 1985 graduates is incomplete and, therefore, statistics are not available.

Priorities in FY86 for SVCC will continue to focus on curriculum development and updating, program articulation with other parts of RIT, computer literacy for students and faculty, basic skills identification (Phase II), direct-entry procedures, school-wide meetings and retreats, tenure and promotion-in-rank procedures, and effective planning and budget monitoring across the School.

60 88

BEST COPY AVAILABLE

The School will continue to support program options for deaf students that enhance their career opportunities in visual communication fields. These options will emerge as a consequence of in-depth curriculum planning and development and will be a reflection of present and future needs of business and industry. Curriculum advisory committees, current literature, data on graduate success, faculty feedback from visits to industry and professional conventions, and any other available resources will help in determining the viability of all options.

As an extension of this process, systematic evaluations are conducted on all SVCC programs to ensure that content and sequencing are compatible with preparing graduates to have employable skills.

Career development priorities for Visual Communication Careers for FY86 will focus on curriculum updating in Printing Production, Applied Art, and Career Exploration, and on articulation agreements with other RIT colleges, as appropriate.

In addition to curriculum updating, the School will focus on Middle States re-accreditation procedures, curriculum articulation within NTID and SVCC, career information dissemination, effective instruction, employment opportunity support, and administration.

B. Research

Applied research supporting career development of deaf students occurs formally and informally within the School. Faculty assume responsibility for seeking more effective and efficient means of delivering instruction, and for exploring new technology related to the field of visual communication. More formal commitments normally occur as joint activities within NTID's Department of Educational Research and Evaluation. In these instances, research projects are reported and planned for cooperatively between the technical/support department and the Department of Educational Research and Evaluation.

NOTE: This *Mission Statement* was edited, with permission, for use in this Manual.

BEST COPY AVAILABLE

DIVISION OF PLANNING AND EVALUATION - TECHNICAL ASSISTANCE PROGRAM

Mission Statement FY85

The primary mission of the Division of Planning and Evaluation is to provide quality and timely administrative direction and support in the areas of *finance* and *planning* that will increase the effectiveness and efficiency of operating performance, encourage systematic decision making to allocate resources where they have greatest impact, and foster institutional development and change. This administrative direction and support are focused on the following areas within the NTID sub-process, Planning - Guidelines/Support.

Sample

Management

1. Design, develop, and direct NTID's planning and budgeting process (which provides a centralized system for program and fiscal planning, budgeting, monitoring, and reporting) in order to facilitate the development of clear measurable plans, detailed, line-item budgets supporting the plans, and systematic and consistent reports on accomplishments.

2. Analyze and report information on the success of institutional activities in relation to the institutional mission and plans for a particular period.

3. Develop and implement improved techniques for integrating the planning and budgeting processes in order to ensure that fiscal decisions reflect NTID's priorities.

4. Prepare quarterly and annual financial analyses, cost studies, and other analyses needed to support fiscal decisions, and work with the academic offices to determine analyses required in support of decisions on resource allocation.

5. Evaluate the effectiveness and efficiency of NTID's processes in order to identify strengths and weaknesses that require further analysis, development, and resolution.

62

BEST COPY AVAILABLE

Chapter 12 Budget System Planning Form (BPF) and NTID Budget Report

SUGGESTED START DATE

Early March

COMPLETION DATE

Early April

DESCRIPTION

The NTID *Budget System Planning Form (BPF)* is a green and white computer form that usually runs three or four pages per department. Listed on the form are the individual expense items that make up a department's current budget. The *BPF* is used as a worksheet on which adjustments for the next year's budget are made by a department's chairperson or budget officer.

All adjusted *BPFs* are compiled by computer and printed out as the *NTID Budget Report.* The *Budget Report* is the Institute's single document of all departments' adjusted BPFs; it is NTID's coming year's working budget. The document is a white, accordian fold, 8½" x 11" computer form.

PURPOSE

The NTID *Budget System Planning Form,* printed with a department's current budget, has only one purpose: it is where additions, deletions, and changes are made to a department's coming year's budget.

The annual *NTID Budget Report* is distributed to assistant and associate deans and directors. It is the budget they will adhere to in the coming year. (Included in this chapter is an example of a partial Budget Report, which in total is a lengthy document.)

63

BEST COPY AVAILABLE

PROCESS

In mid-January, assistant and associate deans and directors receive packets of planning and budgeting materials, including *BPFs*, which they distribute to their department chairpersons and managers.

During February, before revising the *BPFs*, assistant and associate deans and directors, along with chairpersons and managers, revise the Mission Profiles for their schools, divisions, and departments; this is part of Interdivisional Planning, which must be completed before the *BPFs* can be revised.

Early in March, schools, divisions, and departments begin revising *BPFs*. First, costs are assigned to the objectives and strategies in the Mission Profiles. When costing objectives, assistance by budget officers, chairpersons, assistant and associate deans and directors, as well as faculty and staff members may be required.

After Mission Profile objectives and strategies and their costs are correlated, each line item on a *BPF* is examined and specific adjustments are made. For example, line item descriptions may need rewriting to make them more accurate, other items are deleted or added, and dollar amounts are corrected. (See REMINDERS, Special Considerations.) Adjustments to any section of a line item are written on the *BPF* form.

Finally, the budget officers use the Expense Comparison Report (example included in this chapter) to check the reasonableness of the dollar amounts on the revised *BPFs* (this report is included in the packet of planning and budgeting materials distributed in mid-January, and is used for information purposes only). The Expense Comparison Report is a summary of a school's or division's and its departments' spending patterns over a period of three years. It consists of five columns, each with two sets of numbers. The first two columns on the left show the spending patterns for the previous two years; each lists actual dollars spent and percent of total expenditures by line item. The middle column lists the budget dollars and percentages for the current year. The two right hand columns list the expenditure changes in dollars and percents for the three years consisting of the two previous years and the current one. The purpose of this report is to show a department or division its spending patterns by line item. It is a useful reference for making changes on the *BPF*.

In early April, all departments' *BPFs*, along with division and school Mission Profiles, are submitted to the Division of Planning and Evaluation, even if there are no additions, changes, or deletions on them. The revisions are then keyed into the computer and processed. Approximately ten days later the *NTID Budget Report* is generated. This report lists the updated budget for each department in the Institute. Every assistant or associate dean and director receives a copy of the *NTID Budget Report* for each department within his or her school or division.

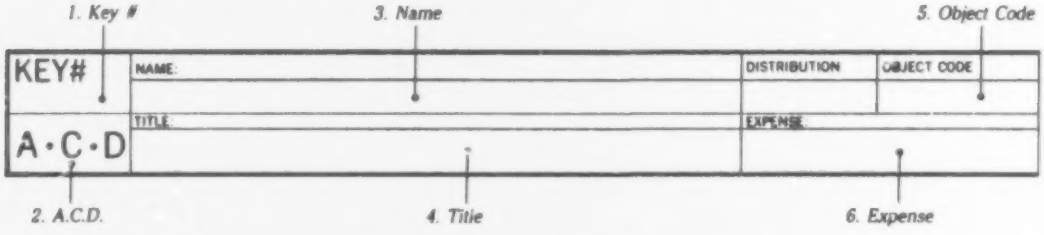
BEST COPY AVAILABLE

AUTHOR/SUPERVISOR

Each school and division has its own method for handling the work necessary to revise the *Budget System Planning Forms;* it may be a joint effort or an individual one. The assistant and associate deans and directors decide who is to participate.

PREPARATION

For the most part, the *BPF* is self explanatory. However, an explanation of the six sections to be filled in follows.



The illustration represents one line item from the BPF.

1. Key # - Each line item in the budget has an identification number known as the *Key#*. Every department within the institute has its own series of Key#s, no two are alike. When new lines are added to a budget they are preceded by Key#s. On each BPF, the computer has printed the next Key# after the last printed line item. If more than one line item needs to be added, consecutive Key#s are used. One word of caution: If a line item is deleted, its Key# *is not reused.*

2. *A.C.D.* - Circle one of these letters; the circled letter will tell the computer to *Add, Change,* or *Delete* a line item.

   To *Add* a budget line
   - Enter the next available Key#.
   - Circle the "A".
   - Complete the other sections for the line item, entering the new data in the white areas.

   To *Change* a budget line
   - Circle the "C".
   - Draw a line through the part you wish to change.
   - Write the corrected information in the white area.
   - Completely rewrite the changed section of the line item, not just a letter or word.

   To *Delete* a budget line
   - Circle the D.
   - Do not re-use the Key#.

Remember: If the line item is correct, do nothing.

65

87

BEST COPY AVAILABLE

3. *Name* - Every expense line item has a Name. For personnel line items, the Name is the employee's name (last name first) and position number. If a personnel position is not currently filled, the word "open" appears where the name would be. For other types of expenditures, the Name is an Expense Object Code Title. (A complete listing of these titles can be found in Chapter 16 - Appendix B.) Some examples of these titles are: Supplies-Office, Subscriptions, Dues, and Telephone & Telegraph.

4. *Title* - Just as each line item has a Name, it also has a Title, such as a person's official job title for personnel expenditures. For other types of expenditures, a short description is written. Sometimes, for expenditures other than personnel, several, separate, specific expenditures use the same Expense Object Code Title. When this happens, each specific item is placed on a separate line.

   For example:

KEY#	NAME: Travel and Communications	DISTRIBUTION	OBJECT CODE 515
10125			
A·C·D	TITLE: NAD Meeting	EXPENSE: $300	

KEY#	NAME: Travel and Communicatons	DISTRIBUTION	OBJECT CODE 515
10126			
A·C·D	TITLE: Asa'r. Dear - 3 trip.	EXPENSE: $1200	

KEY#	NAME: Travel and Communications	DISTRIBUTION	OBJECT CODE 515
10127			
A·C·D	TITLE: Prof. Develop. 3 staff	EXPENSE: $1000	

5. *Distribution* - This section is not used.

6. *Object Code* - Just as every expenditure at NTID has a Name and Title, each also has a three-digit code number, this is the Object Code. (Object Codes are included in the listing found in Chapter 16 - Appendix B.) The Object Code is a numerical way of identifying types of expenditures (in addition to Object Titles).

7. *Expense* - The Expense is the dollar amount being requested for a particular line item. All figures are rounded up, or down, to the nearest $100.

BEST COPY AVAILABLE

REMINDERS

- Make all changes in red.
- Equipment purchases should appear on the *Equipment Request Form*, not on the *BPF*.
- The Division of Planning and Evaluation can answer questions about the preparation of the *BPF*.
- **Special Considerations:** Although a line item *can* be added, dollars *cannot* be added to the overall department budget by chairpersons and managers. A department project needs additional funds and the department does not have surplus funds that can be shifted from one line item to another, the *assistant* or *associate dean* or *director* may shift dollars from one department to another within his or her school or division. (See Chapter 14, Monitoring Mission Profiles and Budgets.)

  In certain situations, if additional funds are needed but cannot be found in other departments of the school or division, an assistant or associate dean or director may make a request to the Dean of CDP or the Associate Vice President of TAP by writing a *Supplemental Funds Request* (memo, outline, etc. - there is no special form). Supplemental Funds Requests are made only for dollars needed for current objectives and activities and *not* for new projects. (Funds for new projects are discussed in Chapter 8, New Project Proposals.) The written requests are sent to the Division of Planning and Evaluation with the submission of the revised *BPFs*. Because funds are limited, an assistant or associate dean or director should realize that submitting a Supplemental Funds Request will not guarantee that the funds will be provided. The Dean and Associate Vice President will notify the assistant or associate deans or directors which requests, if any, can be honored. This will occur at the end of the planning and budgeting process.

~~85~~ 67

BEST COPY AVAILABLE

1986
ABC

NTID BUDGET SYSTEM

PLANNING FORM

PAGE

KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10101	White, Michael 0182		110	
A·C·D	TITLE Chairperson	EXPENSE 16,000		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10102	Anderson, Mary 0043		130	
A·C·D	TITLE Secretary	EXPENSE 9,200		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10103	Johnson, Sue 0115		130	
A·C·D	TITLE Secretary	EXPENSE 8,900		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10104	Brown, John 0068		130	
A·C·D	TITLE Program Assistant	EXPENSE 8,900		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10105	Smith, Jennifer 0012		130	
A·C·D	TITLE Receptionist	EXPENSE 8,900		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10106	Open 0026		130	
A·C·D	TITLE Records Assistant	EXPENSE 8,900		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10107	Open 0079		130	
A·C·D	TITLE Secretary 40%	EXPENSE 3,400		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10108	Student Assistants		150	
A·C·D	TITLE 40 hr/wk x 45 wk x 4.20	EXPENSE 7,600		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10109	Office Supplies		310	
A·C·D	TITLE	EXPENSE 2,000		% % % % % % % %
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10110	Instructional Supplies		320	
A·C·D	TITLE Course Materials	EXPENSE 2,500		% % % % % % % %

Sample

BEST COPY AVAILABLE

NTID BUDGET SYSTEM

PLANNING FORM

PAGE

KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
10111	Lab Supplies		340	
A·C·D	TITLE	EXPENSE 4,000		$ $ $ $ $ $ $ $
KEY#	NAME Professional Fees	DISTRIBUTION	OBJECT CODE 408	SUBPROGRAM DISTRIBUTION
10112				
A·C·D	TITLE Prof. Fees Curr.	EXPENSE 1,400		$ $ $ $ $ $ $ $
KEY#	NAME Honararia	DISTRIBUTION	OBJECT CODE 409	SUBPROGRAM DISTRIBUTION
10113				
A·C·D	TITLE	EXPENSE 500		$ $ $ $ $ $ $ $
KEY#	NAME Telephone	DISTRIBUTION	OBJECT CODE 470	SUBPROGRAM DISTRIBUTION
10114				
A·C·D	TITLE	EXPENSE 800		$ $ $ $ $ $ $ $
KEY#	NAME Travel & Communication	DISTRIBUTION	OBJECT CODE 515	SUBPROGRAM DISTRIBUTION
10015				
A·C·D	TITLE 6 trips x 400	EXPENSE 2,400		$ $ $ $ $ $ $ $
KEY#	NAME Hospitality	DISTRIBUTION	OBJECT CODE 520	SUBPROGRAM DISTRIBUTION
10116				
A·C·D	TITLE	EXPENSE 1,200		$ $ $ $ $ $ $ $
KEY#	NAME Local Meetings	DISTRIBUTION	OBJECT CODE 585	SUBPROGRAM DISTRIBUTION
10117				
A·C·D	TITLE	EXPENSE 1,500		$ $ $ $ $ $ $ $
KEY#	NAME Maint. & Repair (Equip)	DISTRIBUTION	OBJECT CODE 620	SUBPROGRAM DISTRIBUTION
A·C·D	TITLE	EXPENSE 2,300		$ $ $ $ $ $ $ $
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
A·C·D	TITLE	EXPENSE		$ $ $ $ $ $ $ $
KEY#	NAME	DISTRIBUTION	OBJECT CODE	SUBPROGRAM DISTRIBUTION
A·C·D	TITLE	EXPENSE		$ $ $ $ $ $ $ $

Sample

BEST COPY AVAILABLE

EXPENSE COMPARISON REPORT
1984 thru 1986

C - Controllable expenses
N - Noncontrollable expenses

Division: ABC

Department 6

CAT.	A/C	Account Descript.	1984 Actual $	1984 Actual %	1985 Actual $	1985 Actual %	1986 Budget $	1986 Budget %	Change 1984 to 1985 $	Change 1984 to 1985 %	Change 1985 to 1986 $	Change 1985 to 1986 %
N	110	Admin&Profess.	$13,804	16.64%	$14,520	15.89%	$15,200	15.62%	$716	5.19%	$680	4.68%
N	130	Tech&Clerical	$40,290	48.57%	$42,780	46.81%	$45,000	46.25%	$2,490	6.18%	$2,220	5.19%
C	150	Student	$3,436	4.14%	$7,452	8.15%	$7,600	7.81%	$4,016	116.88%	$148	1.99%
N	200	Fringe Bene.	$10,067	12.14%	$11,979	13.11%	$13,200	13.57%	$1,912	18.99%	$1,221	10.19%
C	310	Office Sup.	$1,524	1.84%	$1,423	1.56%	$1,700	1.75%	($101)	-6.63%	$277	19.47%
C	320	Instruct. Sup.	$2,690	3.24%	$2,010	2.20%	$2,100	2.16%	($680)	-25.28%	$90	4.48%
C	340	Lab Supplies	$3,389	4.09%	$3,400	3.72%	$3,600	3.70%	$11	0.32%	$200	5.88%
C	408	Prof.Fees	$1,453	1.75%	$1,523	1.67%	$1,700	1.75%	$70	4.82%	$177	11.62%
C	409	Honoraria	$400	0.48%	$400	0.44%	$500	0.51%	$0	0.00%	$100	25.00%
C	470	Telephone	$876	1.06%	$616	0.67%	$700	0.72%	($260)	-29.68%	$84	13.64%
C	515	Travel&Commun.	$1,989	2.40%	$1,783	1.95%	$2,000	2.06%	($206)	-10.36%	$217	12.17%
C	520	Hospitality	$602	0.73%	$718	0.79%	$800	0.82%	$116	19.27%	$82	11.42%
C	585	Local Meetings	$943	1.14%	$1,006	1.10%	$1,100	1.13%	$63	6.68%	$94	9.34%
C	620	Maint&Repair	$1,483	1.79%	$1,786	1.95%	$2,100	2.16%	$303	20.43%	$314	17.58%
		Total	$82,946	100.00%	$91,396	100.00%	$97,500	100.00%	$8,450	10.19%	$5,904	6.46%

Sample

BEST COPY AVAILABLE

NTID BUDGET REPORT

Detail Expense Code Budget by Department

Dept. (6) ABC
Fiscal Year 1986

Date Apr. 24, 1985

Expense Code	Description of Budget Item		
110	White, Michael 0182 Chairperson	16,000	$ 16,000
130	Anderson, Mary 0043 Secretary	9,200	
	Johnson, Sue 0115 Secretary	8,900	
	Brown, John 0068 Program Assistant	8,900	
	Smith, Jennifer 0012 Receptionist	8,900	
	Open 0026 Records Assistant	8,900	
	Open 0079 Secretary 40%	3,400	
			$ 48,200
150	Student Assistants 40 hr/wk x 45 wk x 4.20	7,600	$ 7,600
200	Fringe Benefits	14,700	$ 14,700
310	Office Supplies	2,000	$ 2,000
320	Instructional Supplies Course Materials	2,500	$ 2,500
340	Lab Supplies	4,000	$ 4,000
408	Professional Fees Prof. Fees Curr.	1,900	$ 1,900
409	Honararia	500	$ 500
470	Telephone	800	$ 800
515	Travel & Communication 6 trips x 400	2,400	$ 2,400
520	Hospitality	1,200	$ 1,200
585	Local Meetings	1,500	$ 1,500
620	Maint. & Repair (Equip.)	2,300	$ 2,300
	TOTAL		$105,600

Sample

BEST COPY AVAILABLE

Chapter 13 **Equipment Request Form**

SUGGESTED START DATE

Mid-March

COMPLETION DATE

Early April

DESCRIPTION

The *Equipment Request Form* is one page long. Sections for naming the purchaser, and for identifying, justifying, and costing the equipment to be purchased are on the front. Questions that will guide you in properly completing the *Equipment Request Form* are on the back of the form.

PURPOSE

This form is used by departments to present new or replacement equipment needs to their assistant or associate deans or directors, and to the Dean of CDP or the Associate Vice President of TAP. The completed forms provide them with information regarding costs associated with the acquisition and operation of the equipment, and justification for its purchase. Assistant and associate deans and directors use this information to rank the many requests received from their departments. Additionally, the information on approved *Equipment Request Forms* is used for generating purchase requisitions.

PROCESS

During March, when department chairpersons and managers are preparing their Mission Profiles for the coming year, they also check the equipment that is currently in place. If additional equipment is needed to accomplish the department's objectives, or if new equipment is needed to replace worn-out equipment, an *Equipment Request Form* is filled

72

BEST COPY AVAILABLE

out. All of the completed forms are sent to the assistant or associate dean or director of that school or division. He or she then ranks the requests, taking into consideration the overall objectives for the school or division.

Once the requests have been ranked, they are sent to the Division of Planning and Evaluation, along with the Mission Profiles, Mission Statements, and BPFs. The Division of Planning and Evaluation compiles all school and division requests into lists. These lists are sent to the dean and the associate vice president.

At this level, the requests are ranked once more, keeping in mind NTID's goals. Because there rarely are enough dollars in the budget to purchase all of the requested equipment, the dean and associate vice president, along with the assistant and associate deans and directors, determine which equipment requests will be honored.

AUTHOR/SUPERVISOR

Anyone within a department (chairpersons, faculty, or staff members) can prepare the *Equipment Request Form(s)*. After being approved by the chairperson or manager, requests are signed by the budget officer for that particular department.

PREPARATION

The front of the *Equipment Request Form* has five sections that must be completed.

1. *Heading* - This section identifies the requesting department's name and number and its budget officer's name.

   Note: Also included in this section is a space for noting the rank of the equipment request. The requests are not ranked by the person initiating them.

   The rank of each request is determined by the assistant or associate dean or director after collecting the requests from all of his or her departments. The Equipment Request Forms are ranked in consideration of overall goals and outcomes of the school or division.

2. *Item* - This section is used to indicate whether the equipment is a new item or whether it is replacing an existing piece of equipment. A complete, brief description should include a list of all components and/or peripherals.

3. *Justification* - This section lists the important reasons for purchasing the equipment. How will it be used? What goals or outcomes will be met? Who will benefit: students, faculty, staff? What will happen if this equipment is not purchased? Answers to these and similar questions will help the writer complete this section. Remember: Statements made in this section will most directly influence the ranking of the request.

BEST COPY AVAILABLE

4. *Costs* - Two types of information are required in this section: initial costs and recurring costs. Initial costs are associated with the equipment purchase and the first year's operating expenses. Recurring costs are those associated with the equipment after the first year. There are many factors to consider when completing this section of the *Equipment Request Form*. Questions on the back of the form are helpful.

5. *Ordering Information* - Usually by the time an *Equipment Request Form* is complete, a manufacturer and model number have been selected. (For assistance, contact the RIT Purchasing Department at 475-2107.) It is not necessary to choose a vendor. The Purchasing Department places the order with the vendor who offers the best price and services.

REMINDERS

- The Division of Management Services should be contacted before deciding on a manufacturer and model. It can provide information about choosing equipment that is compatible with equipment already in use, reliability, and service.

- The questions on the reverse of the form should be reviewed to ensure adequate investigation of the equipment.

BEST COPY AVAILABLE

FY 86 EQUIPMENT REQUEST FORM

Department Name AS/AHP Division/School Priority 9

Department Number 444 Budget Officer Hamil

ITEM New _____ Replacement X

Description:

Automatic Edging Machine

Sample

JUSTIFICATION FOR PURCHASE:

The current edging machine is 14 years old. The machine malfunctions intermittently, producing inaccurate and unacceptable work (finished lenses). It is impossible for instructors to determine if errors are caused by the student set-up or machine malfunction. As a result, we cannot use the machine to evaluate student techniques. Alternate instruments are not able to handle the volume of work because of increased class size.

We have checked into having the machine repaired, but were told that replacement parts are no longer available.

	Initial Costs	Recurring Costs
Equipment	$ 5,500.00	$
Maintenance	$ Free 1st year	$ 200.00/ yr.
Supplies	$	$
Installation	$	$
Facilities	$	$
Personnel	$	$
Other	$	$
TOTAL	$ 5,500.00	$ 200.00

Ordering Information (For more than 2 related items, list information on separate paper. See other side for equipment checklist.)

Item Auto Edge Grinding Machine

Model # Mark V

Manufacturer A.I.T.

Suggested Vendor A.I.T.

Item _____

Model # _____

Manufacturer _____

Suggested Vendor _____

P&Q 75

BEST COPY AVAILABLE

FY____ EQUIPMENT REQUEST FORM

Department Name _____ Division/School Priority _____

Department Number _____ Budget Officer _____

ITEM New_____ Replacement_____

Description:

JUSTIFICATION FOR PURCHASE:

	Initial Costs	Recurring Costs
Equipment	$ _____	$ _____
Maintenance	$ _____	$ _____
Supplies	$ _____	$ _____
Installation	$ _____	$ _____
Facilities	$ _____	$ _____
Personnel	$ _____	$ _____
Other	$ _____	$ _____
TOTAL	$ _____	$ _____

Ordering Information *(For more than 2 related items, list information on separate paper. See other side for equipment checklist.)*

Item_____

Model # _____

Manufacturer _____

Suggested Vendor _____

Item_____

Model # _____

Manufacturer _____

Suggested Vendor _____

BEST COPY AVAILABLE

EQUIPMENT EVALUATION CHECKLIST

I. Equipment
   What is the purchase or rental cost?

II. Operations
   A. Are there any recurring costs from this purchase such as maintenance, operating, insurance, supplies? (Apply cost implications to each line item in the budget.)

   B. If you purchase this equipment will there be any cost savings in your current operations? Are there any savings that displace current costs both direct and indirect? (Indicate line items in the budget that will be reduced should this equipment be purchased.)

III. Installation
   A. Are there set-up and implementation costs including: disposal and removal of old equipment, shipping and moving costs?

   B. Will there be future costs for additional purchases of related equipment? Is there planned future "add-on" of equipment or furniture?

IV. Facility Considerations
   A. What facility modifications are required to accommodate the new equipment?

   B. What cost would there be to meet these requirements?

   C. Have you scheduled lead time for necessary modifications?

      1. Space requirements (i.e., space for new personnel to operate equipment).
      2. Environmental factors (i.e., humidity, temperature requirements).
      3. Power requirements (i.e., dedicated circuits, high amperage).
      4. Safety requirements (i.e., noise suppression, fumes, fire extinguisher, exit doorways).

V. Personnel Costs
   A. Are there training costs?

   B. Are additional personnel required to operate and/or support this item? (i.e. students, staff, faculty)

VI. Technical and Service Considerations
   A. Performance of Equipment - Have you checked with other users of this equipment?

   B. Performance of vendor - Have you checked with RIT Purchasing regarding the reliability and dependability of the vendor for service and delivery?

   C. What advantages and/or disadvantages are there for this equipment compared to other similar equipment?

VII. Schedule Considerations
   Have you allowed time for shipping, moving, or relocation of both the old and the new equipment?

BEST COPY AVAILABLE

Chapter 14 Monitoring Mission Profiles and Budgets

SUGGESTED START DATE

Monthly, quarterly, and semi-annually

COMPLETION DATE

September 30 - end of the fiscal year

DESCRIPTION

Monitoring *Mission Profiles* and *Budgets* is a continuous effort by administrators to determine progress toward goals, evaluate the effectiveness of strategies, analyze and control expenditures, and determine how resources are being used in their departments, schools, or divisions.

Mission Profiles and *Budgets* usually are monitored concurrently and at regular intervals. To fulfill this responsibility, administrators at each level use the Mission Profile and two reports that are issued periodically to all departments, divisions, and schools by the Division of Planning and Evaluation.

PURPOSE

The monitoring process provides the information and flexibility to adjust *Mission Profiles* and *Budgets* to meet the Institute's changing needs. Monitoring also lets administrators control productivity and costs within their areas of management responsibility.

PROCESS

Throughout the year, administrators review their staff members' objectives and activities and check progress and costs against the department's, division's, or school's *Mission Profile* and *Budget*. They look for circumstances that will require adjustments to the *Mission Profile* and/or *Budget*.

105 79 BEST COPY AVAILABLE

Each month, budget officers compare expenditures to and balance budgets against two reports issued by the Division of Planning and Evaluation, discrepancies are continuously corrected.

In September, at the close of the fiscal year, a final monitoring of that year's *Mission Profile* and *Budget* takes place as managers prepare their annual reports.

AUTHOR/SUPERVISOR

Administrators and budget officers are responsible for monitoring and revising their *Mission Profiles* and *Budgets*. Although revisions to Mission Profiles are written by administrators, only assistant and associate deans and directors can authorize changes to a budget's "controllable" line items.

PREPARATION

Administrators monitor *Mission Profiles and Budgets* using data collected through a variety of means: periodic structured reviews; informal conversations with individual faculty and staff members concerning the progress of their work; analysis of records of productivity, uses, and costs; and the two reports distributed by the Division of Planning and Evaluation: The *Department Statement* and the *Quarterly Expense Analysis*.

- The *Department Statement* is distributed monthly and shows both the current month's and year-to-date expenditures by line item. It is used to monitor dollars spent versus dollars remaining.

- The *Quarterly Expense Analysis* is distributed in January, April, July, and November. It is a comparison of the current year's expenditures to those of the preceding year; total expenditures for the previous year also are included.

The budget officer monitors a budget by regularly comparing the two reports to the department's ledger. Every month and each quarter, inaccuracies are corrected and monies shifted when necessary.

Each administrator uses this budgetary information to determine if and how the budget needs to be adjusted to meet the goals set forth in the Mission Profile. During the semi-annual monitoring, it is not uncommon to re-write sections of the Mission Profile to reflect budget analyses or to submit a Program Change Memo (PCM) for realigning funds to meet the objectives in the Mission Profile. (An example of PCM is included in this chapter.)

Any time the monitoring of a *Mission Profile* and *Budget* reveals that there are insufficient funds in the budget, funds may be shifted among "controllable" line items.

BEST COPY AVAILABLE

Moving funds among "controllable" line items is within the authority of assistant and associate deans and directors and may be changed when necessary. Monies in "noncontrollable" line items can only be adjusted after approval by NTID executive administrators. "Noncontrollable" line items consist mainly of permanent personnel accounts and fringe benefits. (Appendix B, Expense Object Codes and Titles identifies each item as "controllable" or "noncontrollable.")

Usually, insufficient funds in one line item are compensated with monies from another line item within the budget of one department. To deduct dollars from a "controllable" line item, the budget officer writes a Program Change Memo and forwards it to NTID's administration.

If necessary, an assistant or associate dean or director can shift dollars from one department within a school or division to another. It should be noted that dollars cannot be added to a school's or division's budget, excepting rare circumstances and with approval by NTID executive administrators (See REMINDERS, Special Considerations, Chapter 12). At the end of the fiscal year and in keeping with Federal guidelines, budget dollars and actual expenditures must be equal.

If the monitoring of *Mission Profiles and Budgets* reveals that the Mission Profile needs to be rewritten to reflect budgetary circumstances or changes within NTID, an administrator does so and uses the new Mission Profile as the current working document. Revisions to CDP's and TAP/DPA's Mission Profiles usually are made twice during the fiscal year: late August, before the start of the coming year; and March, midway into the fiscal year.

REMINDERS

- The PCM is a four-part form. The bottom copy is kept by the person initiating the Memo. The Division of Planning and Evaluation will distribute the top three, signed copies.

- The PCM is sent first to the Director of Management Services who confirms and signs off on space implications. The memo then is forwarded to NTID's executive administrators and is checked for personnel implications. Finally, the PCM is sent to the Division of Planning and Evaluation, and the monies are shifted accordingly.

DX5 80 BEST COPY AVAILABLE

Program Change Memo

№ 6149
(Serial No.)

A. Description FY 87 Personnel Change ____ Fiscal Change X Space Change ____ Other Change ____

1. Change or modification requested:

Transfer $200 from 006-340
to 006-320

2. Explanation/justification:

to cover the cost of additional course materials

Mary Anderson — Requestor — Date

Sample

John Brown — Budget Officer — Date

B. Recommendations

1. Personnel:

2. Fiscal:

3. Space:

4. Other:

D. Staff Action

1.

2.

3.

4.

C. Disposition - Approved/Disapproved

VP/Director, NTID

Dean, NTID

Associate VP, NTID

KDA 81

GD 0280

BEST COPY AVAILABLE

Chapter 15 **Program and Financial Reporting:** *Quarterly Visibility Reports, Academic Year Report* and *Annual Report* for the fiscal year

Quarterly Visibility Reports	**Suggested Start Date**	**Completion Date**
Fall	December 15	January 15
Winter	March 15	April 15
Spring	May 15	June 15
Summer	September 15	October 15
Academic Year Report	May 1	June 15
Annual Report for the fiscal year	September 15	October 15

DESCRIPTION

The yearly reporting process is the formal tabulation of institutional data that provides internal and external audiences with a clear and comprehensive understanding of NTID's accomplishments. The preparation of three reports comprises the yearly reporting process: *Quarterly Visibility Report, Academic Year Report,* and *Annual Report* for the fiscal year.

- *Quarterly Visibility Report* - Requested by the President of RIT through the Director of NTID, the four *Quarterly Visibility Reports* are compilations of activities that provide national and international visibility for RIT through NTID.

  Information about NTID's public service, research of note, kudos, and so on, are written under the following categories:

  - National/International Outreach Activities and Media Exposure
  - Awards
  - National/International Professional Activities
  - NTID Research Publications and Books
  - Professional Publications

BEST COPY AVAILABLE

- *Academic Year Report* - The *Academic Year Report* is CDP's report of program accomplishments for the academic year (September-May). It contains information about enrollment, graduates, curricula, research, training, and faculty professional activities. After the *Academic Year Report* is updated for summer quarter activities, it becomes a part of the *Annual Report* for the fiscal year.

- *Annual Report* for the fiscal year - This loose-leaf document (which includes the Academic Year Report) presents a variety of descriptive information about NTID. It is made up of two categories of information: program and financial.

The program information for both the *Academic Year Report* and *Annual Report* for the fiscal year contains material from all the categories of the *Quarterly Visibility Report* and also presents additional facts on Students, Graduates, Student Services, Curriculum Planning, Internal Training, Personnel, and others.

This information highlights accomplishments and progress toward program and Institute goals. It combines quantitative and qualitative data that broadly explains most facets of NTID's operations. Information on programs is a basis for major institutional reports, accountability reporting to external constituencies, and strategic (long-range) planning.

Financial data also is collected as part of the annual reporting process. This financial information consists of an update of each organizational unit's budget and is assessed in terms of the potential impact of budgetary conditions upon programs. The budget information is used for re-allocating funds and for future planning.

PURPOSE

The reporting process is an institutional system for collecting program data to develop an information base for use when assessing progress toward institutional goals, for major recurring institutional reports (e.g. the *NTID Annual Report to the U.S. Department of Education*), for public relations, recruitment, and planning. The reporting process and its reports provide an opportunity for the entire staff to be informed about NTID. Suitable for many audiences, the information is used regularly in briefings to Congress, external reports, speeches by faculty, in freshman orientation, brochures, news releases, and others.

- The *Quarterly Visibility Report* informs the President of RIT about numerous instances of national and international visibility provided by faculty and professional staff members at NTID.

- The *Academic Year Report* informs the Dean and V.P. for Academic Affairs about key indicators of NTID's success in educating deaf students and accomplishments of faculty.

- The *Annual Report* for the fiscal year is used for institutional planning. Toward that end, the published information shows trends over the past five years. This "fact book" becomes a source document for the preparation of other external reports and presentations. The *Annual Report* for the fiscal year is distributed internally to the staff and an extract of it becomes the *NTID Annual Report to the U.S. Department of Education*.

~~DRS~~ 83 BEST COPY AVAILABLE

PROCESS

1. Every three months, all schools and divisions contribute to the *Quarterly Visibility Report* that is compiled by the Division of Public Affairs for the Director of NTID to be forwarded to the president of RIT.

2. During June, all academic departments prepare their own Academic Year Reports of the previous Fall, Winter, and Spring quarters that contains all program information, including enrollment, support services, student services, research, curriculum planning, faculty awards, and professional development activities. Next, the *Academic Year Report*, using the input of the academic departments, is developed by the Division of Planning and Evaluation and forwarded to the Dean and Vice President of Academic Affairs.

3. In early October, all NTID schools and divisions prepare an *Annual Report* for the fiscal year (Oct. 1 - Sept. 30) that:

   - summarizes the information on admissions, placement, demographics, personnel, management, and information dissemination, for the entire fiscal year;

   - updates the *Academic Year Report* for the summer activities that occurred in CDP, such as the Summer Vestibule Program and curriculum products.

4. In November, the information provided by schools and divisions in their *Academic Year Reports* and annual reports for the fiscal year is compiled into a single document by the Division of Planning and Evaluation. This single document, *The Annual Report* for the fiscal year, is circulated internally for use by staff members in planning and for presentations. An extract of this internal *Annual Report* for the fiscal year is the *Annual Report to the U.S. Department of Education*; this extract also is used in the next year's budget submission to the Federal government.

AUTHOR/SUPERVISOR

- *Quarterly Visibility Report* - All faculty and professional staff members report their contributions to NTID's national and international visibility. They submit this information four times a year through their supervisors.

- *Academic Year Report* - All CDP assistant and associate deans prepare annual program and financial reports using information collected from department chairpersons who likewise collected information from their faculty and staff members.

- *Annual Report* for the fiscal year - The TAP directors and managers have the responsibility for collecting information from their departments. The CDP assistant and associate deans update their *Academic Year Report* for the Summer quarter, which then is included in the *Annual Report* for the fiscal year.

84

BEST COPY AVAILABLE

PREPARATION

Forms for the *Quarterly Visibility Report* are distributed in December, March, May, and September, with due dates, to members of the Executive Administrative Committee and to others who have projects that provide national and international visibility for NTID at RIT. They gather information, under each category on the form, from the staff members of their divisions and schools. The information they provide is compiled into a single document by the Division of Public Affairs.

All NTID managers are expected to contribute to the *Annual Report* for the fiscal year. It is completed in two stages. The first stage is the *Academic Year Report*, which is completed by CDP in June. This report is updated the following September to include any program activities occurring during summer quarter. The majority of the reporting work for CDP, therefore, occurs at the end of the academic year (June). Directions and forms for the *Academic Year Report* are distributed to CDP schools and divisions in May. Some of the forms' categories of information are identical to those used in the *Quarterly Visibility Report;* therefore, completed forms from previous quarters should be retained for use in the *Academic Year Report* and the *Annual Report* for the fiscal year.

The program section of the *Annual Report* consists of updates to pages in the previous year's *Annual Report* for the fiscal year, information from the forms included in the following pages, the bibliographies of publications by faculty and staff, and any newly identified categories.

Another component of the annual reporting process for the fiscal year is the financial analysis that consists of data that supports expenditures made during the year. During October, budget officers receive final year-end statements (monthly statement). These serve as the basis for year-end financial reporting. Explanations for accounts in which expenditures exceeded budgets are requested at this time. When compiling the financial data for the divisional input to the *Annual Report*, it is necessary to supply facts for the six categories of expenditures.

1. *Consultants (408)* - Indicate the amount spent by each department for consultants. A short narrative describing the type of consultants hired should be included.

2. *Travel (515)* - Indicate the amount spent by each department for travel. A brief description of the activities these funds supported should be included. Program-related activities are to be clearly delineated from professional development travel.

3. *Instructional Supplies (320)* - Indicate the amount spent by each department. A brief narrative as to the items purchased (broad categories) should be included.

4. *Equipment Maintenance (620)* - For departments where this item exceeds $4,000, list the equipment and associated cost.

5. *Equipment Rental (630)* - For departments where this item exceeds $4,000, list the rental equipment and associated cost.

6. *Expense Reimbursement (992)* - For each department, list the source and amount of the collections and the expenditures that were supported by the income.

BEST COPY AVAILABLE

REMINDERS

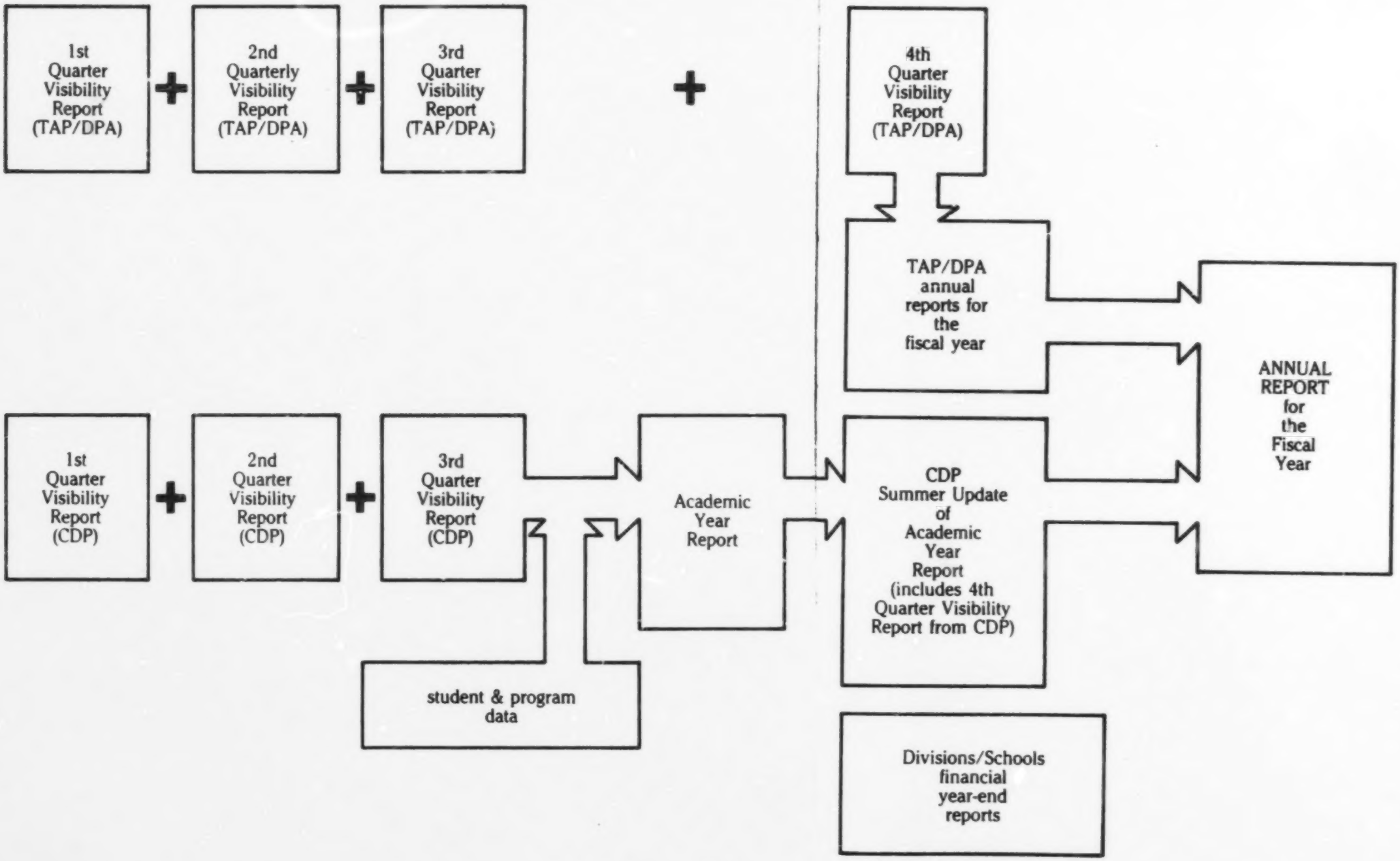
- Persons preparing information for the *Quarterly Visibility Report* should retain the information from the first three quarters for inclusion in the *Academic Year Report* and from all four quarters for the *Annual Report* for the fiscal year.

- The same forms for collecting information for the *Quarterly Visibility Report* are used for the *Academic Year Report* and the *Annual Report* for the fiscal year.

- The Mission Profile is a good source document to use when preparing program information for the *Academic Year Report* and the *Annual Report* for the fiscal year.

BEST COPY AVAILABLE

ANNUAL REPORTING PROCESS


1st Quarter Visibility Report (TAP/DPA)
2nd Quarterly Visibility Report (TAP/DPA)
3rd Quarter Visibility Report (TAP/DPA)
4th Quarter Visibility Report (TAP/DPA)
TAP/DPA annual reports for the fiscal year
ANNUAL REPORT for the Fiscal Year
1st Quarter Visibility Report (CDP)
2nd Quarter Visibility Report (CDP)
3rd Quarter Visibility Report (CDP)
Academic Year Report
CDP Summer Update of Academic Year Report (includes 4th Quarter Visibility Report from CDP)
student & program data
Divisions/Schools financial year-end reports

BEST COPY AVAILABLE

Chapter 16 Appendix A
Department Budget Numbers

DEPARTMENT NUMBER	NAME
	NTID Administration Programs (ADM)
410	Office of VP/Director
418	Public Affairs
	Career Development Programs (CDP)
470	Office of Dean/CDP Administration
479	Department of Faculty Development
	General Education Programs
420	General Education Administration
423	Performing Arts
421	General Education Instruction
422	Liberal Arts Support
427	Social Work and Criminal Justice Programs
424	Human Development
425	Psychological Services
426	Student Life
429	Physical Education and Athletics
477	Support Service Education
	Business Careers
442	Business Occupations
448	Business Counseling Services
481	Business/Computer Science Support
482	Business Careers
483	Data Processing

BEST COPY AVAILABLE

Science and Engineering Careers

441 Science and Engineering Careers
443 Industrial Technologies
444 Applied Science/Allied Health
446 Physics and Technical Mathematics
484 Electromechanical Technology
485 Science/Engineering Support
486 Construction Technologies

Visual Communication Programs

445 Applied Photography/Media Production
449 Visual Communication Careers
447 Applied Art
487 Visual Communication Support
488 Printing Production Technology
489 VCC Counseling Services

Communication Careers

460 Communication Administration
461 Communication Instruction I
462 Communication Instruction II
463 Communication Instruction III
464 Communication Instruction IV
465 Communication Training
466 Technical and Career Communication
467 Communication Support
468 Communication Research

Educational Support Service Programs

471 Educational Support Services Programs
473 Educational Research and Development
476 Interpreting Services

Technical Assistance Programs (TAP)

430 Office of Associate Vice President/TAP Administration

Educational Specialist Program

437 Educational Specialist Program

Planning and Evaluation

439 Planning and Evaluation
419 Physical Plant Charges - Building 14

Career Opportunities

432 Career Opportunities
433 Career Outreach and Admissions
435 National Center on Employment of the Deaf

BEST COPY AVAILABLE

Management Services

450 Management Services
451 Systems Development and Operations
452 Administrative Services
453 Word Processing, Duplicating, and Mail Services

Instructional Design and Technical Services

490 Instructional Design and Technical Services
491 Instructional Design and Evaluation
492 Instructional Television and Media Services
494 Training Development

BEST COPY AVAILABLE

Appendix B
Expense Object Codes and Titles

N/C*	OBJECT CODE	OBJECT TITLE
N	110	Administrative & Professional
N	120	Instructional - Full-time
N	125	Educational Development Faculty
N	130	Technical, Clerical, Secretarial
N	141	Part-time Permanent - Admin./Prof.
N	142	Part-time Permanent General
C	145	Instructional Part-time
N	147	Instructional Day Summer Quarter
C	148	Instructional Day Summer Session
C	150	Student
C	152	Student, NTID Work Study
C	155	Student, Co-op
N	165	Part-time Educational Development Faculty
C	170	Temporary Hourly
C	175	Temporary Professional - Non-Teaching
N	210	Social Security Expense
N	215	Unempioyment Insurance
N	220	Retirement Contributions
N	230	Worker's Compensation
N	232	Long Term Disability Expense
N	235	Disability Benefits
N	240	Blue Cross/Blue Shield
N	241	Group Health
N	242	RHN
N	243	Blue Choice
N	250	Health Insurance Preferred Care
N	255	Group Dental Insurance
N	260	Group Life Insurance
N	270	Tuition Waiver - Faculty-Staff-Dependents
C	310	Supplies - Office
C	315	Charges - RIT Instructional Resources
C	319	Charges - RIT Computer Services

BEST COPY AVAILABLE

C	320	Supplies Instructional
C	340	Lab Supplies
C	341	Hearing Aids
C	342	Hearing Aid Batteries
C	344	Earmolds (O.H.A. and Clinic)
C	346	Hearing Aid Repairs (Clinic)
C	348	Misc. Access./Supl. (Clinic)
C	365	Software Lease/Purchase
C	390	Supplies - Other
C	408	Professional Fees
C	409	Honoraria
C	410	Advertising
C	420	Dues
C	430	Subscriptions
C	450	Postage
C	460	Bulletins
C	465	Catalogs
C	470	Telephone and Telegraph
C	490	Other Information and Communications
C	515	Travel Conferences and Committees
C	520	Hospitality and Reception
C	525	Recruitment Faculty
C	530	Recruitment Staff
C	535	Recruitment Student
C	545	Moving and Relocation
C	550	RIT Vehicles - Petroleum
C	585	Local Meetings and Conferences
C	590	Other Travel and Hospitality
C	592	Sponsored Seminars (All costs)
N	602	Student Health Service Fees
N	610	Maintenance and Repair (Bldg.)
C	620	Maintenance and Repair (Equip.)
N	622	Non-Routine Maintenance - NTID
N	624	Admin. Rent - NTID Dorms
N	626	Custodial Services (Physical Plant)
N	627	Operating Engineers (Physical Plant)
N	628	Maintenance Services - (Physical Plant)
N	629	Grounds Services RIT
C	630	Rental Equipment
C	634	Rentals - NTID Support Teams
N	635	Fuel
N	640	Lights and Power
N	645	Water
N	647	Physical Planning Charges
N	648	Stores and Traffic Charges
N	649	Telecom Services
C	650	Laundry
N	655	Waste Collection

~~118~~ 92 BEST COPY AVAILABLE

N	660	Security Patrol Services
N	665	Taxes and Assessments
N	710	Insurance
N	712	Contingency
N	720	Grant-In-Aid
N	750	Overhead
N	753	Indirect Expense - Stage III
N	754	Indirect Expense - Dining Commons
N	755	Tuition Costs
N	760	Room Costs
N	765	Board Costs
N	773	Physical Education and Athletic Charges
N	775	Activity Fees
N	779	Medical Insurance
N	788	NTID Prior Year's Adjustment
C	790	Other Miscellaneous Expense
N	798	NTID Accrued Expenses
N	906	Building Repairs and Modifications
N	912	Equipment - Less Than $500
N	914	Equipment General - $500 and Greater
N	992	Expense Reimbursements

* N - Non-controllable expenses
C - Controllable expenses

93

~~N~~

BEST COPY AVAILABLE